

ACCOUNT OPENING KIT



Zero% Brokerage

Save up to 90% of your trading costs

**Trade in Equities, Currency &
Commodities**

₹9 / trade

₹999 / month

QUICK CHECKLIST

- ☐ Signed all places marked A1 to A25.
 - ☐ Affixed passport size photograph on page 6 and signed across A2
 - ☐ Self attested photocopy of PAN card and Address proof
 - ☐ Stamped copy of latest bank statement or cancelled cheque with name printed on it
 - ☐ Account opening fee cheque for Rs. 400 made payable to "South Asian Stocks Ltd."
- If you want us to courier you the form, we'll charge you Rs. 500

DOCUMENTS TO BE ATTACHED ALONG WITH THE TRADING FORM

1. 1 Copy of PAN Card.
2. 1 Copy of Address Proof (Driving License, Voter ID, Passport, Original Bank Statement, Aadhar Card).
3. 1 Passport Size Color Photograph photo on the first page of KYC application form on A2, (page numbered 6) and sign across it.
*** Demat Proof is mandatory for trading in cash segment (Not Mandatory for Derivatives)**
4. 2 Cheques
 - a. 1 cancelled (Personal - Name to be mentioned on the cheque). If it's not please attach 1 month Bank Statement.
 - b. 1 cheque favouring "**SOUTH ASIAN STOCKS LTD.**" for Rs 400/- for Account Opening.
***If you want us to courier you the form, we'll charge you Rs. 500**
5. If you want to trade derivatives, please sign the Self Declaration (A16) on the last page of the form
Alternatively, you can also provide 1 copy of any of the following documents:
 - a. Pay slip (latest)
 - b. Form 16 / IT Returns (latest)
 - c. 6 month Bank statement (latest)
 - d. Copy of Demat Holding with any other Broker
6. In-Person Verification: The Exchange requires us to perform in-person verification, so you have to be available on a webcam or drop into our office for account opening.
7. **Please mention Email ID clearly in capital letters to avoid error. All communication will be via registered Email ID.**
8. Please mention unique Email ID and Mobile number if you have multiple accounts with SAS Online. In case of family accounts with same mail ID / mobile number please sign Mobile no. and Email ID declaration form and send hard copy along with the form.

Please mail the Account opening form to following address:

SOUTH ASIAN STOCKS LTD.

3rd Floor , Building No. 5 , Local Shopping
Complex, Rishabh Vihar, Near Karkarduma Metro
Station. East Delhi – 110092
Phone: 011-40409999
www.sasonline.in

S.	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 and an instruction/check list.	6 – 7
		B. Document captures the additional information about the Constituent relevant to trading account and an instruction /check list.	8 – 10
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).	12
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 the relationship with SOUTH ASIAN STOCKS LTD.	13– 15
8	Authorization for Electronic Contract Notes	Client consent letter for receiving the contract notes by Email.	16
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	17
10	Running Account Authorization	Letter of Authorization for maintaining a Running Account with SOUTH ASIAN STOCKS LTD.	18
11	Self-Declaration (Derivatives Trading)	Declaration of an individual's financial information for trading in the Derivatives Segment.	19

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

NSE SEBI Registration No. : INB230907337 / INF230907337 / INE230907337

BSE SEBI Registration No. : INB010907336 / INF010 907336

Compliance officer Name: R K Jain

CEO Name: Shrey Jain

Phone No. & mail ID: 011-40409999, support@sasonline.in 011-47377200, support@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 landline), 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 don'ts
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,

**A 1**

Client Signature

Date: _____

Name of the Applicant: _____

Checklist before submitting the Application Form

- ☐ Passport-size photo on page 6, signed across.
- ☐ Signed all areas marked with A1 to A25.
- ☐ Photocopy of PAN card, self-attested
- ☐ Photocopy of address proof, self-attested
- ☐ Photocopy of last 6 months bank statement or Income Tax returns or salary slip or any other income proof, self-attested (if Self Declaration form is not signed on page no. 19).
- ☐ Personalized cancelled cheque from the bank you wish to link to your trading account
- ☐ Account opening cheque of Rs. 500 payable to South Asian Stocks Ltd. or Rs. 400 if you have printed the application on your own

C. OTHER DETAILS

1. 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)

2. Occupation (Please tick whichever is applicable)

Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐

Retired ☐ Housewife ☐ Student ☐ Self Employed ☐ Others (please specify) _____

Brief Details of Nature of Business/Service _____

If Employed:

i. Name of the Employer: _____

ii. Office Address: _____

iii. Telephone No. _____ Fax No. _____

If Self Employed / Business / Professional / Others: _____

i. Name of the Establishment: _____

ii. Office: _____

iii. Address: _____

iii. Telephone No. _____ Fax No. _____

3. Please tick, if applicable: Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐

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.

**A 4**

Client Signature

Date: _____

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"/>
MICR Number		
IFSC code		

B. DEPOSITORY ACCOUNT(S) DETAILS

i. Depository Participant Name: _____

ii. Depository Name: NSDL ☐ CDSL ☐

iii. Beneficiary Name: _____

iv. DP Id. _____ BO Id. _____

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: _____

*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	 (a) 	 (b) 	 (c) 
BSE	 (d) 	 (e) 	

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 : **SAS Trade Partner**

Status of the Introducer : **Authorized Person : Client ID GA122**

Address of the Introducer : **New Delhi**

Phone no. of the Introducer : **9136404036**

Signature of the Introducer : www.sastradepartner.in

H. NOMINATION DETAILS (please tick the appropriate option)

☐ I/We do not wish to nominate

☐ I/We wish to make a nomination and do hereby nominate the following person in whom all rights and/or amount payable in respect of funds in my trading account shall vest in the event of my/our death.

Name of the Nominee: _____ Relationship with the Nominee: _____

PAN of Nominee: _____ Date of Birth of Nominee: _____

Address of the Nominee: _____

Phone No. of Nominee: _____

If Nominee is a minor, details of Guardian:

Name of Guardian: _____ Address of Guardian: _____

Phone no. of Guardian: _____ Signature of Guardian _____

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

Witness Name:	Witness Name:
Signature	Signature:
Address:	Address:

**A 6**

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 _____



A7

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 Authorized 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. Service Tax | 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



A 8 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



Date : _____



Client Signature

Applicant Name: _____

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 favor of SOUTH ASIAN STOCKS LTD.

If there is any margin shortage in future position, than there will be no call from sas online, your position may be squared off, please plan your trade in advance and make you that you have sufficient funds available in your account, further you can call on support desk for any margin related query.

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.

**A10**

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

**A11**

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: _____



A12 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: _____



A13 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, where to 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: _____



A14 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 confirm you that I can revoke the above mentioned authority at any time.

Thanking you

Yours faithfully,

**A15**

Client Signature

SELF DECLARATION – DERIVATIVES TRADING (VOLUNTARY)

(To be filed if Documentary Evidence is not furnished by clients trading in Capital / Derivatives Market Segment)

To

Date: _____

SOUTH ASIAN STOCKS LTD.

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

Dear Sir/Madam,

Sub: Self-Declaration on Income and Net-Worth furnished pursuant clause 47 of MCA.

Ref: Application No. / Client Code: _____ submitted for registration for trading and investments. With
reference to the above document submitted, I do hereby declare and affirm the following.

1. I have been allotted the PAN: _____, a self-attested copy of which has been submitted to you as one of the mandatory KYC documents.
2. For the Financial Year ending 31st March _____, my Annual Income was approximately Rs. _____ for which, except this Self-declaration Letter, no other documentary proof is provided to you.
3. As on date _____, my net-worth is approximately Rs. _____ for which, except this Self-declaration Letter, no other documentary proof is provided to you.
4. I further declare that the transactions I am entering into with you in the above trading account is commensurate with my Income and Net Worth and I am fully aware of risks associated with these transactions.
5. The ownership and risk of justification and substantiating regarding the above declaration with any of the Statutory Authorities/ Agencies will be my Own.



Client Signature

Client's Name: _____

AUTHORIZATION FOR MOBILE NO. & E-MAIL ID

I Name _____ do hereby authorize South Asian Stocks Ltd.; Member NSE ☐ / BSE ☐ /
Depository ☐ to map the mobile no. _____ and e-mail Id _____ of our family
member; Mr./ Ms. _____; in my account no. _____ as my authorized representative/
attorney as I am unable to handle and excess the mobile phone and mail Id due to _____. I will be
fully responsible for all the transactions done by him/ her on my behalf through this mobile no. and mail Id and all the
communications received on this will mobile no. or mail Id will be treated as mine.



Client Signature

Client's Name: _____

South Asian Stocks Limited

Regd. Off. : 3rd Floor , Building No. 5 , Local Shopping Complex ,
Rishabh Vihar, Near Karkarduma Metro Station . East Delhi – 110092
Tel. No. 011-4040-9999 Fax No.-011-47377215
Email: Support@sasonline.in, Website: www.sasonline.in

ACCOUNT OPENING FORM (FOR INDIVIDUALS)

DP ID								Client –ID (To be filled by Participant)											
I	N	3	0	6	1	2	2												
I/We request you to open a depository account in my/our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>										Date		D	D	M	M	Y	Y	Y	Y
A)	Details of Account holder(s):																		
	Account holder(s)	Sole/ First Holder				Second Holder				Third Holder									
	Name																		
	PAN																		
	Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist												
		<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired												
		<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife												
		<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student												
		<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify; _____)												
	Brief details:																		
B)	For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:																		
	a) Name					b) PAN													
C)	Type of account																		
	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable																
	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Promoter																
	<input type="checkbox"/> Margin	<input type="checkbox"/> Others (Please specify) _____																	
D)	Gross Annual Income Details																		
	Income Range per annum (please tick any one)																		
	<input type="checkbox"/> Below ` 1 lac	<input type="checkbox"/> ` 1- 5 lac	<input type="checkbox"/> ` 5- 10 lac																
	<input type="checkbox"/> ` 10- 25 lac	<input type="checkbox"/> More than ` 25 lac																	
E)	In case of NRIs/ Foreign Nationals																		
	RBI Approval Reference Number																		
	RBI Approval date										D	D	M	M	Y	Y	Y	Y	
F)	Bank details																		

1	Bank account type <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify)_____												
2	Bank Account Number												
3	Bank Name												
4	Branch Address												
		City/town/village				PIN Code							
		State				Country							
5	MICR Code												
6	IFSC												
G)	Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)												
H)	Standing Instructions												
1	I/We authorise you to receive credits automatically into my/our account.									<input type="checkbox"/> Yes <input type="checkbox"/> No			
2	Account to be operated through Power of Attorney (PoA)									<input type="checkbox"/> Yes <input type="checkbox"/> No			
3	SMS Alert facility: [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]												
	Sr. No.	Holder								Yes	No		
	1	Sole/First Holder								<input type="checkbox"/>	<input type="checkbox"/>		
	2	Second Holder								<input type="checkbox"/>	<input type="checkbox"/>		
	3	Third Holder								<input type="checkbox"/>	<input type="checkbox"/>		
4	Mode of receiving Statement of Account [Tick any one]		<input type="checkbox"/> Physical Form										
			<input type="checkbox"/> Electronic Form [Read Note 4 and ensure that email ID is provided in KYC Application Form].										
I)	Guardian Details (where sole holder is a minor): [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]												
	Guardian Name												
	PAN												
	Relationship of guardian with minor												

J)	Nomination Option									
	<input type="checkbox"/> I/We wish to make a nomination. <i>[As per details given below]</i>					<input type="checkbox"/> I/We do not wish to make a nomination. <i>[Strike off the nomination details below]</i>				
	Nomination Details									
	I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me / us in the said beneficiary owner account shall vest in the event of my / our death.									
	1	Name of the Nominee (Mr./Ms.)								
	2	Relationship with the Applicant (if any)								
	3	Address of Nominee		<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between;"> <div style="width: 20%;">City/town/village</div> <div style="width: 20%;"></div> <div style="width: 20%;">PIN Code</div> <div style="width: 10%;"></div> <div style="width: 10%;"></div> <div style="width: 10%;"></div> <div style="width: 10%;"></div> <div style="width: 10%;"></div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 20%;">State</div> <div style="width: 20%;"></div> <div style="width: 20%;">Country</div> <div style="width: 40%;"></div> </div>						
4	Contact Details of nominee		Tel. (Off.)				Tel. (Res.)			
			Fax No.				Mobile No.			
			Email ID							

5. Nominee Identification details (please tick any one from (a) to (f) and provide details of the same)									
(a)	<input type="checkbox"/>	(i)	Photograph				(ii)	Signature	
			<div style="border: 1px solid black; padding: 10px; text-align: center;"> Photograph of nominee <i>(Signature of nominee across photograph)</i> </div>					<div style="border: 1px solid black; height: 100px; position: relative;"> X <i>Signature of nominee</i> </div>	
(b)	<input type="checkbox"/>	PAN of nominee							
(c)	<input type="checkbox"/>	Aadhaar number of nominee							
(d)	<input type="checkbox"/>	Savings bank account number of nominee, if maintained with the same Participant					Bank Account Number		
(e)	<input type="checkbox"/>	Copy of any proof of identity document <i>(accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure JB)</i>							
(f)	<input type="checkbox"/>	Demat account details of nominee					DP ID		
							Client ID		

Sr. Nos. 6-11 should be filled only if nominee is a minor:													
6	Date of Birth (in case of minor nominee)					D	D	M	M	Y	Y	Y	Y

J)	7	Name of Guardian (Mr./Ms.) (in case of minor nominee)										
	8	Address of Guardian										
			City/town/village				PIN Code					
			State				Country					
	9	Contact Details of Guardian	Tel. (Off.)				Tel. (Res.)					
			Fax No.				Mobile No.					
Email ID												
10	Relationship of Guardian with nominee											

11. Guardian Identification details (please tick any one from (a) to (f) and provide details of the same)										
(a)	<input type="checkbox"/>	(i)	Photograph	(ii)	Signature					
			<div style="border: 1px solid black; padding: 10px; text-align: center;"> Photograph of guardian <i>(Signature of guardian across photograph)</i> </div>		X <i>Signature of guardian</i>					
(b)	<input type="checkbox"/>	PAN of guardian								
(c)	<input type="checkbox"/>	Aadhaar number of guardian								
(d)	<input type="checkbox"/>	Savings bank account number of guardian, if maintained with the same Participant		Bank Account Number						
(e)	<input type="checkbox"/>	Copy of any proof of identity document (accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure JB)								
(f)	<input type="checkbox"/>	Demat account details of guardian	DP ID							
			Client ID							

Declaration

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

Name(s) of holder(s)		Signature(s) of holder
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)		A18
Second Holder (Mr./Ms.)		B 1
Third Holder (Mr./Ms.)		C 1

Notes :

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination, are as below:
 - I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
4. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
5. Strike off whichever is not applicable.

=====

Acknowledgement**South Asian Stocks Limited**

Regd. Off. : 3rd Floor , Building No. 5 , Local Shopping Complex ,
 Rishabh Vihar, Near Karkarduma Metro Station . East Delhi – 110092
 Tel. No. 011-4040-9999 Fax No.-011-47377215
 Email: Support @sasonline.in, Website: www.sasonline.in

Received the application from Mr/Ms _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Participant Stamp & Signature

Rights and Obligations of the Beneficial Owner and Depository Participant

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*".
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI.
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

A 19

(Sole/First Holder`s Sign.)

B 2

(Second Holder`s Sign.)

C 2

(Third Holder`s Sign.)

RATE SHEET

DP ID IN306122

SCHEDULE - A

CHARGES FOR THE DEPOSITORY SERVICE

I/We agree to pay the charges as per following charge structure for our Demat account with South Asian Stocks Ltd.

Client ID : _____

Effective: _____ / _____ / 20_____

Charge Head	Charges
Annual Maintenance charges	No annual maintenance charges In case of corporate accounts, NSDL charges Rs.500/- per annum to be paid up front, at the time of account opening. (All charges would attract service tax /cess or other such taxes as applicable)
Debit Transactions charges Market/Off Market. Interdepository	Flat Charges of Rs.9 Plus Depository at actuals
Dematerialization Charges	Rs.2.00 per certificate plus courier charges of Rs.35 per demat request for every 500 gms
SLB Charges	For Security Borrowing: Rs.25 plus Depository charges For Security Lending: Rs.25 plus Depository charges
Same day pay-in execution charges	Nil
(Pledge Charges) Creation /Invocation	Rs.50 per transaction (separate for creation & Invocation)
Rematerialization Charges	Rs.25 per certificate or 0.05% of the value of the transaction whichever is higher plus Depository charges at actual
Failed / Rejected Transactions	Rs.30 per transaction
Demat Rejection Charges	Rs.35 per rejection for every 500 gms

A20_____
(Sole/First Holder`s Sign.)**B 3**_____
(Second Holder`s Sign.)**C 3**_____
(Third Holder`s Sign.)

CLIENT ID: _____

E-Mail Statement	Period Bills and Transaction statement and other communication will be sent by email only. Terms and Condition for the same to be mandatorily executed. Request for physical statement will be charged as mentioned above.
Cheque Bounce Charges	Charges will be applied based on charges as determined by our bankers

Other Points:

1. All charges would attract the service tax/cess/levies and / or other such taxes as applicable from time to time.
2. All payments have to be made favouring South Asian Stocks Ltd. You can pay by Cheques or Demand Draft payable at the local branch where the account is opened. Outstation cheques will not be accepted. Or else you can also avail facility of ECS or choose to pay online.
3. All the percentages in the above structure would be applied on the value of the transaction as computed by the depository.
4. Out of Pocket expenses incurred on the Dispatch of securities for Dematerialisation and communication charges incurred on out-station calls/faxes made specifically on request of the client will be charged on actual.
5. Charges quoted above are for the service listed. Any service not listed above will be charged separately.
6. Any advance payments over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount payable at the time of account opening shall be adjusted against the bills raised from time to time.

Important Note:

1. DP bills should be paid on or before the due date. Interest shall be levied @ 18% per annum on outstanding amount for non-payment from bill due date. Pursuant to Clause 19 of rights and obligation, in case of non-payment of DP charges within the due date, DP reserves the right to discontinue operation of the demat account till such time that the payment is received.
2. For all purpose the Bill date shall be constructed as the date of demand and the bill will be considered as the **Bill cum Notice** for payment and, South Asian Stocks Ltd reserves the right to "freeze depository account for debit transactions", in case of nonpayment of charges after two days from the Bill due date.
3. The renewal charges for resuming the depository operations will be Rs.150 per Account and the service will be resumed in minimum of two working days from the date of receipt of request at South Asian Stocks Ltd.
4. I / We understand that the above charges are subject to revision by South Asian Stocks Ltd. After providing a notice period of 30 days. Such revision will be notified by ordinary post/courier.

A21

(Sole/First Holder`s Sign.)

B 4

(Second Holder`s Sign.)

C 4

(Third Holder`s Sign.)

VOLUNTARY**Authorization to debit Demat account operating charges**

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 debit the Demat Account Charges
Ref: Client ID: _____

I/We have opened/have a NSDL beneficiary account with South Asian Stocks Ltd. depository participant, along with SAS trading account for investment and trading purposes.

I/We, hereby authorize South Asian Stocks Ltd., to debit from my trading account, the charges payable towards AMC, Transactions Charges & applicable statutory levies, levied by South Asian Stocks Ltd, in the above said demat account.

I/We are aware of the charges for operating the said demat account with South Asian Stocks Ltd. Any such sum debited to my trading account shall be binding on , me/us.

Thanking you,

Yours truly,

A22

(Sole/First Holder`s Sign.)

B 5

(Second Holder`s Sign.)

C 5

(Third Holder`s Sign.)

LIMITED PURPOSE POWER OF ATTORNEY

This Power of Attorney is executed on this.....day of.....Between Mr./Ms./M/S.....
..... S/o/D/o of..... residing at/having registered
Office at.....as One Part,

AND

M/S South Asian Stocks Limited (hereinafter referred to as "SASL"), a Company duly incorporated under the Companies Act, 1956 and having its Registered Office at
3rd Floor, Building No. 5, Local Shopping Complex, Rishabh Vihar, Near Karkarduma Metro Station. East Delhi - 110092 as the Second Part, RECITALS

A23

(Sole/First Holder`s Sign.)

B 6

(Second Holder`s Sign.)

C 6

(Third Holder`s Sign.)

WHEREAS SASL is providing various securities related services which inter alia includes but is not limited to transactions in connection with purchase or sale of securities, script, stocks etc. Whereas SASL is a member of Bombay Stock Exchange Ltd, bearing SEBI Registration

No.INB010907336, member of National Stock Exchange of India Limited bearing SEBI Registration NO.INB230907337, NSE F&O- INF230907337 and NSE Currency INE230907337

WHEREAS I/We hold a Beneficiary account, bearing Client ID.....with South Asian Stocks Limited, a Depository Participant (DP ID-NSDL- IN306122) (hereinafter referred to as "SASL (DP)" in order to avail the various services being offered by SASL.

NOW THESE PRESENT WITNESSES THAT I/WE do hereby jointly and severally nominate, constitute and appoint SASL, acting through their respective Director(s), employees or such other person as may be authorized by them by way of Resolution, whether passed in a meeting of the Board of Directors or any Committee formed by the Board, for the aforesaid and various other purpose, as my/our true and lawful attorney to do, execute and perform severally the following acts, deeds, matters and things:

1. To operate the specified aforementioned Beneficiary Account and issue instructions relating to demat of securities and to sign and execute delivery instruction slip to effect transfer of shares/securities from my/our beneficiary account, to execute receipt instructions, pledge instructions, pledge closure instructions and all such other instructions that may be required to facilitate the transactions undertaken by me/us pursuant to the Member Client Agreement.
2. To instruct the SASL (DP) to debit securities and /or to transfer securities from the aforementioned Beneficiary Account to the Pool Account of SASL as mentioned herein below for the purpose of delivering the same to the Clearing Corporation of the aforesaid Stock Exchanges towards any segment in respect of the securities sold by me/us through them (Including pay in/pay out due to exercise to rights by SASL over securities considered as margin/collateral/security):

Pool Accounts:

	NSE		BSE	
	NSDL	CDSL	NSDL	CDSL
CM-BP-ID / BO ID	IN567297	16014800 00473046	IN665842	16014800 00473012

3. I/we want you to consider the securities in my/our demat account as margin/collateral/security for any and all dealings which as per your records /opinion are done /to be done through./with you. And to instruct the SASL (DP) to debit securities and /or to transfer securities from my aforementioned Beneficiary Account to the Margin Account(s) of the SASL as mentioned herein below and for creating/maintaining collateral/security/margin in form of securities:

Margin Account

	Margin Account NSDL	Ben. Account with NSDL
DP ID	IN306122	IN306122
DP Name	South Asian Stocks Ltd.	South Asian Stocks Ltd.
Client ID	10000053	10000061

4. To do all such acts, deeds, things as may be required to ensure that all deliveries of securities arising out of transactions undertaken by me/us under the Agreement are duly and properly completed.

A24

(Sole/First Holder`s Sign.)

B 7

(Second Holder`s Sign.)

C 7

(Third Holder`s Sign.)

5. To do all such other acts or deeds which SASL in its sole discretion considers necessary in this connection, in order to complete the transaction(s).
6. Whereby SASL undertakes to return the securities that may have been received by them erroneously or those securities that it was not entitled to receive.
7. Whereby this Power of Attorney is revocable at any time, without notice to either party

I DO HEREBY for myself, my heirs, executors and administrators do hereby agree to ratify, confirm and validate all and whatsoever my said Attorney shall do or purport to do or cause to be done by virtue of these presents.

This document shall be subject to the exclusive jurisdiction of the courts of law at the place of acceptance of this Power of Attorney by the Attorney.

I/We do hereby undertake to ratify whatever they said Attorney may lawfully do in and by virtue of these presents.

A25

(Sole/First Holder`s Sign.)

B 8

(Second Holder`s Sign.)

C 8

(Third Holder`s Sign.)

Sole/First Holder Name

Second Holder Name

Third Holder Name

.....

Address

Address

Address

.....

.....

Witness – I

Witness – II

Notary Public

Name:

Name:

Name:

Address:

Address:

Address:

.....

Signature:

Signature:

Signature:

Attestation by Notary Public or witness that this Power of Attorney was executed by the donor(s) above named before me/us.

Accepted for and on behalf of donee

Signed for and on behalf of donee **South Asian Stocks Limited** (Stock broking division) in acceptance at

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