

## Know your Broker

Our Membership with Code	Segment	Clearing Member Details
<b>NSE</b> TM Code – 07831	Capital Market (CM), Equity Derivatives Market (F&O)	Self
	Securities Lending & Borrowing Segment (SLBS)	Self
	Currency Derivatives Market (CDS)	Globe Capital Market Ltd.
	Commodity Derivatives (CO)	Globe Capital Market Ltd.
<b>BSE</b> Clg. Code – 3038	Capital Market (CM)	Self
	Equity Derivatives Market (F&O)	Self
	Currency Derivatives Market (CDS)	Self

### Registered & Correspondence Office Address of Trans Scan Securities Pvt. Ltd. (TSSPL)

3A, Auckland Place, 2nd Floor, Kolkata - 700 017

Phone : (033) 4016-1620, E-mail : transdp@rediffmail.com, Website : www.transcansec.com

CIN : U67110WB1994PTC066343, SEBI Regn. No. INZ000266638 dt.14.06.2019

### Registered & Correspondence Office Address of Globe Capital Market Ltd.

609, Ansal Bhawan, 16 K. G. Marg, Connaught Place, New Delhi – 110 001

Phone : (011) 3041-2345, E-mail : care@globecapital.com, Website : www.globecapital.com

CIN : U74100DL1985PLC021350, SEBI Regn. No. INZ000177137

#### Compliance Officer details (TSSPL)

Name : Joydeep Bhattacharya

Phone : (033) 4016-1629

E-mail : joydeep@transcansec.com

#### CEO details (TSSPL)

Name : Sandeep Jain

Phone : (033) 4016-1642

E-mail : sandeep@transcansec.com

For any grievance / dispute, please contact **Trans Scan Securities Pvt. Ltd.** at the above address or email id: **ig\_trans@hotmail.com** and Phone no.: **(033) 4016-1620**. In case not satisfied with the response, please contact the concerned Exchange(s) at :

NSE - ignse@nse.co.in - (022) 2659-8190

BSE - isc.mumbai@bseindia.com - (022) 2272-8517

You may also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575, 1800 266 7575.

#### Filing compliant on SCORES - Easy & Quick

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES
  - i. Name, PAN, Address, Mobile Number, E-mail ID
- c. Benefits:
  - i. Effective Communication
  - ii. Speedy redressal of the grievances

Please refer SCORES website link <https://scores.gov.in/scores/Welcome.html> and the FAQs available thereon.

If the investor / client is still not satisfied with the outcome, he / she / they can initiate dispute resolution through the ODR Portal. Visit <https://smartodr.in/login> for the Online Dispute Resolution Portal.

**We, Trans Scan Securities Pvt. Ltd., are also engaged in Proprietary trading apart from client-based business.**

# ACCOUNT OPENING KIT (VER 1.09)

<b>INDEX OF DOCUMENTS</b>		
<b>S.NO.</b>	<b>NAME OF THE DOCUMENT AND ITS BRIEF SIGNIFICANCE</b>	<b>PAGE NOS.</b>
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>		
<b>1.</b>	<p><b>Account Opening Form</b></p> <p>A. KYC form - Document captures the basic information about the constituent and an instruction/check list.</p> <p>B. Additional Information about an individual investor trading in cash segment only [SARAL]</p> <p style="padding-left: 20px;">If such investors wish to trade in segments other than cash segment and /or wish to avail facilities such as internet trading, running account, margin trading, Power of Attorney etc., they must fill section C below instead.</p> <p>C. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.</p>	<p><b>1 - 4</b></p> <p><b>5</b></p> <p><b>6 - 11</b></p>
<b>2.</b>	<p><b>Most Important Terms &amp; Conditions</b></p> <p>To facilitate understanding of critical aspects of the Broker-Client relationship.</p>	<b>12</b>
<b>3.</b>	<p><b>Policies and Procedures</b></p> <p>Document describing significant policies and procedures of the stock broker.</p>	<b>13 - 17</b>
<b>4.</b>	<p><b>Tariff sheet</b></p> <p>Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).</p>	<b>18</b>
<p><b>Note :</b> Standard Mandatory Documents viz. Rights &amp; Obligations of Stock Broker, Sub-broker and Client for trading on exchanges (including additional Rights &amp; Obligations in case of internet / wireless technology based trading), Uniform Risk Disclosure Documents, and Guidance Note detailing Do's and Don'ts for trading, are available in physical/electronic mode as per your choice marked in Section G on Page 7.</p>		
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER *</b>		
<b>5.</b>	<p><b>Authorisation for Running Account</b></p> <p>Authorisation to settle account on a periodical basis instead of settlement <i>per se</i>.</p>	<b>19</b>
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\* Such documents are voluntary and the client need not execute such documents if he / she does not wish to use that facility. If executed, the client has a right to terminate the document any time he wishes by informing in writing.

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



Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

Fields marked \* are pertaining to CKYC and mandatory only if processing CKYC also

Application Number:

KYC No. :  (Mandatory for KYC update request)

Application Type\*:  New KYC  Modification KYC

**KYC Mode\*:** Please Tick (✓)

Normal  EKYC OTP  EKYC Biometric  Online KYC  Offline EKYC  Digilocker

**1. Identity Details** (please refer guidelines overleaf)

PAN\*  Please enclose a duly attested copy of your PAN Card  Form 60 furnished

Name\* (same as ID proof)

Maiden Name\* (if any)

Fathers/Spouse's Name\*

Date of Birth\*

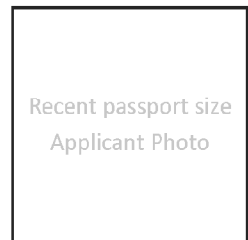
Gender\*  Male  Female  Transgender

Marital Status\*  Single  Married

Nationality\*  Indian  Other

Residential Status\*  Resident Individual  Non Resident Indian

Please Tick (✓)  Foreign National  Person of Indian Origin\*



Cross Signature across photograph

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX  (Expiry Date)

B — Passport Number  (Expiry Date)

C — Voter ID Card  (Expiry Date)

D — Driving License

E — NREGA Job Card

F — NPR

Z — Others  (any document notified by Central Government)

Identification Number  in case "Z" is ticked

**2. Address Details\*** (please refer guidelines overleaf)

**A. Correspondence/ Local Address\***

Line 1\*

Line 2

Line 3

City/Town/Village\*  District\*  Pin Code\*

State\*  Country\*

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

Applicant Signature

**B. Permanent residence address of applicant, if different from above A / Overseas Address\* (Mandatory for NRI Applicant)**

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/ \_\_\_\_\_

Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified**Proof of Address\*** (attested copy of any 1 PUA for correspondence and permanent address each to be submitted) A — Aadhaar Card XXXX XXXX \_ \_ \_ \_ \_ B — Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_ C — Voter ID Card \_\_\_\_\_ D — Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_ E — NREGA Job Card \_\_\_\_\_ F — NPR Letter \_\_\_\_\_ Z—Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**3. Contact Details (in CAPITAL)**

Email ID\* \_\_\_\_\_

Mobile No. \* \_\_\_\_\_

Tel (Off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

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

I/We hereby consent to receiving information from KRA and / or CKYC Registry through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: \_\_\_\_\_ (DDMM-YYYY)

PLACE: \_\_\_\_\_

Applicant Signature

**5. For Office Use Only**

Person Verification (IPV) &amp; KYC Verification carried out by\*

Intermediary Details\*

IPV Date \_\_\_\_\_

Emp. Name \_\_\_\_\_

Emp. Code \_\_\_\_\_

Emp. Designation \_\_\_\_\_

 Self certified document copies received (OVD) True Copies of documents received (Attested)

AMC / Intermediary Name :

**Trans Scan Securities Pvt. Ltd.**

Employee Signature and Stamp

Institution Name and Stamp

## **INSTRUCTIONS/ GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM**

### **1. List of documents admissible as Proof of Identity (PoI)**

1. The name as mentioned in the KYC form shall match the name as mentioned in the Proof of Identity (PoI) submitted.
2. The following documents shall be accepted as PoI:
  - a. Officially valid document (OVD) defined as per Rule 2 (d) of Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 (PML Rules):
    - i. the passport;
    - ii. the driving licence;
    - iii. proof of possession of Aadhaar number;
    - iv. the Voter's Identity Card issued by Election Commission of India;
    - v. job card issued by NREGA duly signed by an officer of the State Government;
    - vi. the letter issued by the National Population Register containing details of name address; or
    - vii. any other document as notified by the Central Government in consultation with the Regulator.
  - b. Further, in terms of proviso to the above Rule, where simplified measures are applied for verifying the identity of the clients, the following documents shall also be deemed to be officially valid document:
    - i. Identity card/ document with applicant's photo, issued by the Central/State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks and Public Financial Institutions;
    - ii. Letter issued by a gazetted officer, with a duly attested photograph of the person.

### **2. Proof of Address (PoA)**

1. The following documents shall be accepted as PoA:
  - a. "officially valid document" defined as per Rule 2 (d) of Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 (PML Rules):
    - i. the passport;
    - ii. the driving licence;
    - iii. proof of possession of Aadhaar number;
    - iv. the Voter's Identity Card issued by Election Commission of India;
    - v. job card issued by NREGA duly signed by an officer of the State Government;
    - vi. the letter issued by the National Population Register containing details of name, address; or
    - vii. any other document as notified by the Central Government in consultation with the Regulator.
  - b. Further, in terms of Rule 9(18) of PML rules, 2005, in case the officially valid document furnished by the client does not contain updated address, the following documents (or their equivalent e-documents thereof) shall be as deemed to be officially valid document for the limited purpose of proof of address, provided that the client shall submit updated officially valid document (or their equivalent e-documents thereof) with current address within a period of three months of submitting the following documents:
    - i. utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill);
    - ii. property or municipal tax receipt;
    - iii. pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address;
    - iv. letter of allotment of accommodation from employer issued by state or central government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
3. A document shall be deemed to an officially valid document even if there is a change in the name subsequent to its issuance provided it is supported by a Marriage Certificate issued by the State Government or a gazette notification, indicating such change of name.

4. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/ Persons of Indian Origin (PIO) Card/Overseas Citizenship of India (OCI) Card and overseas address proof is mandatory.
5. In case the officially valid document presented by a foreign national does not contain the details of address, the documents issued by the Government departments of foreign jurisdictions and letter issued by the Foreign Embassy or Mission in India shall be accepted as proof of address.
6. If any proof of address is in a foreign language, then translation into English shall be required.
7. If correspondence and permanent address is different, then proof for both shall be submitted.
8. A client can authorize to capture address of a third party as a correspondence address, provided that all prescribed 'Know Your Client' norms are also fulfilled for the third party. Proof of identity and proof of address for the third party need to be provided, and he will also be subject to the client due diligence norms as specified in Rule 9 of PML Rules

**9. KYC for SARAL Account Opening Form for resident individuals**

For individual clients participating in the cash segment without obtaining various other facilities such as internet trading, margin trading, derivative trading and use of power of attorney, the requirement of submission of 'proof of address' shall be as follows:

- a. Individual client may submit only one documentary proof of address (either residence/ correspondence or permanent) while opening a trading account and / or demat account or while undergoing updation.
  - b. In case the proof of address furnished is not the address where the client is currently residing, a declaration of the residence/correspondence address on which all correspondence shall be made may be given. No proof is required to be submitted for such correspondence/residence address. In the event of change in this address due to relocation or any other reason, client may intimate the new address for correspondence within two weeks of such a change. The residence/ correspondence address and any such change shall be subject to a verification from our end.
10. 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
  11. Demat master or recent holding statement issued by DP bearing name of the client should be submitted.
  12. Additional documents required in case of trading in derivatives segments. Illustrative list given below:
    - 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

## **SARAL ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT ONLY**

### **1A. PRIMARY BANK ACCOUNT DETAILS (Mandatory)\***

Bank Name : \_\_\_\_\_  
Branch Address : \_\_\_\_\_  
Bank Account No. : \_\_\_\_\_ Account Type :  Saving  Current  
MICR Number : \_\_\_\_\_ IFSC code : \_\_\_\_\_

### **1B. SECONDARY BANK ACCOUNT DETAILS (Optional)**

Bank Name : \_\_\_\_\_  
Branch Address : \_\_\_\_\_  
Bank Account No. : \_\_\_\_\_ Account Type :  Saving  Current  
MICR Number : \_\_\_\_\_ IFSC code : \_\_\_\_\_

### **2A. PRIMARY DEMAT ACCOUNT DETAILS (Mandatory)\***

Depository Participant Name : \_\_\_\_\_  
Depository Name :  NSDL  CDSL  
Beneficiary Name : \_\_\_\_\_  
DP ID : \_\_\_\_\_ Beneficiary ID (BO ID) : \_\_\_\_\_

### **2B. SECONDARY DEMAT ACCOUNT DETAILS (Optional)**

Depository Participant Name : \_\_\_\_\_  
Depository Name :  NSDL  CDSL  
Beneficiary Name : \_\_\_\_\_  
DP ID : \_\_\_\_\_ Beneficiary ID (BO ID) : \_\_\_\_\_

\* Pay outs will only be processed in the Primary Account.

3. **Whether DP Account is also to be opened with the same intermediary :**  Yes  No

4. **TRADING PREFERENCES :** Cash / Mutual Fund (including OFS) segment at both NSE and BSE

If you do not wish to trade in any of segments / Mutual Fund, please mention here \_\_\_\_\_

5. **Mode of receiving Contract Note / Statement of Account :** (Please indicate your preference. Any change in the E.mail ID shall be communicated by the Client through a physical letter to us.)

Physical  Electronic

6. **Standing instructions to receive credits automatically into my BO account :**  Yes  No

7. **NOMINATION DETAILS - Please fill Point I on Page 9.**

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

Date : \_\_\_\_\_ (dd/mm/yyyy)

\_\_\_\_\_  
Signature of the Applicant

**Declaration in case In case the proof of address furnished by the said investor is not the address where the investor is currently residing :**

I hereby declare that I do not have proof of address of the place I am currently residing. I have enclosed the proof of my Permanent Address, but request you to send all correspondence to my current Residential address only.

Date : \_\_\_\_\_ (dd/mm/yyyy)

\_\_\_\_\_  
Signature of the Applicant

**MANDATORY**

**TRADING ACCOUNT RELATED DETAILS - For Individuals (other than using SARAL Form)**

**A1. PRIMARY BANK ACCOUNT DETAILS (Mandatory) +**

Bank Name : \_\_\_\_\_  
Branch Address : \_\_\_\_\_  
Bank Account No. : \_\_\_\_\_  
Account Type :  Saving  Current  Others \_\_\_\_\_ In case of NRI/NRE/NRO  
MICR Number : \_\_\_\_\_ IFSC code : \_\_\_\_\_

**A2. SECONDARY BANK ACCOUNT DETAILS (Optional)**

Bank Name : \_\_\_\_\_  
Branch Address : \_\_\_\_\_  
Bank Account No. : \_\_\_\_\_  
Account Type :  Saving  Current  Others \_\_\_\_\_ In case of NRI/NRE/NRO  
MICR Number : \_\_\_\_\_ IFSC code : \_\_\_\_\_

**B1. PRIMARY DEPOSITORY ACCOUNT DETAILS (Mandatory) +**

Depository Participant Name : \_\_\_\_\_  
Depository Name :  NSDL  CDSL  
Beneficiary Name : \_\_\_\_\_  
DP ID : \_\_\_\_\_ Beneficiary ID (BO ID) : \_\_\_\_\_

**B2. SECONDARY DEPOSITORY ACCOUNT DETAILS (Optional)**

Depository Participant Name : \_\_\_\_\_  
Depository Name :  NSDL  CDSL  
Beneficiary Name : \_\_\_\_\_  
DP ID : \_\_\_\_\_ Beneficiary ID (BO ID) : \_\_\_\_\_

+ Pay outs will only be processed in the Primary Account.

**C. TRADING PREFERENCES**

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.	
Exchange* : NSE and BSE	
All Segments	✓
Cash / Mutual Fund (including OFS)	✓
F&O	✓
Currency (including IRF)	✓
Debt	✓
SLBS**	✓
Commodity Derivatives	✓

If you do not wish to trade in any of segments / Mutual Fund, please mention here

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\* Client will be enabled on all the Stock Exchanges active with us for the segments opted.

\*\* SLBS has its own set of Rights and Obligations Document. Please ask for the same, if opted.

#### D. OTHER DETAILS

##### 1. Gross Annual Income Details (please specify) :

Income Range per annum :  Below ₹ 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  25 Lacs-1 crore  > 1 crore

**Net-worth** ₹ \_\_\_\_\_ **as on** (date) \_\_\_\_\_ (dd/mm/yyyy)  
(Net worth should not be older than 1 year)

**Documentary evidence of financial details mandatory for dealing in derivatives segments**

##### 2. Occupation (please tick any one and give brief details - For Individuals only) :

Private Sector  Public Sector  Government Service  Business  Professional  Agriculturist  
 Retired  Housewife  Student  Others \_\_\_\_\_

##### 3. Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

#### E. 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 :

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#### F. DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS

Whether dealing with any other stock broker / AP (if case dealing with multiple stock brokers / APs, provide details of all using additional sheets)

Name of stock broker : \_\_\_\_\_

Name of AP, if any : \_\_\_\_\_ AP Regn. No. : \_\_\_\_\_

Client Code : \_\_\_\_\_ Exchange : \_\_\_\_\_

Details of disputes/dues pending from/to such stock broker / AP :

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#### G. ADDITIONAL DETAILS

❖ Whether you wish to receive physical contract note or Electronic Contract Note (ECN)

(please specify) : \_\_\_\_\_ Specify your Email id, if applicable : \_\_\_\_\_

Any change in the email id shall be communicated by the client through a physical letter to us. In respect of internet clients, the request for change of email id may be made through the secured access by way of client specific user id and password. Also, non-receipt of bounced mail notification by us shall amount to delivery of the Contract Note at your e-mail ID.

❖ Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document (RDD) and Guidance note - physically or electronically, (please specify) : \_\_\_\_\_

Please note that these documents are mandatory and binding and are also available in certain vernacular languages on demand.

- ❖ Whether you wish to avail of the facility of internet trading / wireless technology (please specify) : \_\_\_\_\_  
(See "Rights and Obligations" document for additional Clauses applicable to Internet and Wireless technology based trading facility)
- ❖ Number of years of Investment / Trading Experience : \_\_\_\_\_
- ❖ Details of the family members / relatives / investee companies having trading account with TSSPL (Tick the applicable)  
 Yes, Client Code \_\_\_\_\_ Name \_\_\_\_\_  No
- ❖ Are you a Commercial Participant (value chain participant / exporter / importer, hedger etc.) or Non-Commercial Participant (financial participant / trader / arbitrager etc.)? \_\_\_\_\_
- ❖ Any other information : \_\_\_\_\_

**H. INTRODUCER DETAILS (optional)**

Name of the Introducer : \_\_\_\_\_  
(Surname) (Name) (Middle Name)

Status of the Introducer :

Sub-broker  Remisier  Authorized Person  Existing Client  Others, please specify \_\_\_\_\_

Address and Phone No. of the Introducer : \_\_\_\_\_

Signature of the Introducer : \_\_\_\_\_

**I. NOMINATION DETAILS (for Individuals only)**

I/We do not wish to nominate

**DECLARATION FORM FOR OPTING OUT OF NOMINATION**

<b>Trans Scan Securities Pvt. Ltd.</b>						Date	D	D	M	M	Y	Y	Y	Y
Regd. Office : 3A, Auckland Place, 2nd Floor, Kolkata - 700 017						UCC								
DP ID						Client ID (only for Demat account)								
Sole/First Holder Name														
Second Holder Name														
Third Holder Name														
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.														
<b>Name and Signature of Holder(s)*</b>														
1					2					3				
<b>WITNESS</b>														
Signature _____														
Name _____														
Address _____														

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

I/We wish to nominate

## Nomination Form

<b>Trans Scan Securities Pvt. Ltd.</b>										<b>FORM FOR NOMINATION</b>																													
Regd. Office : 3A, Auckland Place, 2nd Floor, Kolkata - 700 017										(To be filled in by individual applying singly or jointly)																													
Date	D	D	M	M	Y	Y	Y	Y	Y	DP ID											Client ID																		
UCC	I/We wish to make a nomination. [As per details given below]																																						
<b>Nomination Details</b>																																							
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																																							
<b>Nomination can be made upto three nominees in the account</b>										<b>Details of 1st Nominee</b>										<b>Details of 2nd Nominee</b>										<b>Details of 3rd Nominee</b>									
<b>1 Name of the Nominee(s)</b> (Mr./Ms.)																																							
<b>2 Share of each Nominee</b> Equally [If not equally, please specify percentage]										%										%										%									
										Any odd lot after division shall be transferred to the first nominee mentioned in the form.																													
<b>3 Relationship with the Applicant (if any)</b>																																							
<b>4 Address of Nominee(s)</b> City / Place State & Country																																							
PIN Code																																							
<b>5 Mobile / Telephone No. of Nominee(s) #</b>																																							
<b>6 Email ID of Nominee(s) #</b>																																							
<b>7 Nominee Identification Details #</b> [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																																							
<b>Sr. Nos. 8-14 should be filled only if Nominee(s) is a minor</b>																																							
<b>8 Date of Birth {in case of minor nominee(s)}</b>																																							
<b>9 Name of Guardian (Mr./Ms.)</b> {in case of minor nominee(s)}																																							
<b>10 Address of Guardian(s)</b> City / Place State & Country																																							
PIN Code																																							

**MANDATORY**

<b>11 Mobile / Telephone No. of Guardian #</b>			
<b>12 Email ID of Guardian #</b>			
<b>13 Relationship of Guardian with Nominee</b>			
<b>14 Guardian Identification Details #</b> [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

	<b>Name(s) of holder(s)</b>	<b>Signature(s) of holder*</b>	<b>Witness</b>
Sole / First Holder (Mr./Ms.)			Signature_____
			Name_____
Second Holder (Mr./Ms.)			Address_____
Third Holder (Mr./Ms.)			_____
			_____

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

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

**Notes :** This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

### DECLARATION

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 :** \_\_\_\_\_

✓ \_\_\_\_\_  
**Signature of Client/ (all) Authorized Signatory (ies)**

**Date :** \_\_\_\_\_

**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**

PROOF

## **Most Important Terms and Conditions (MITC)**

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

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Signature of the Client

## **POLICIES AND PROCEDURES**

### **A. Refusal of orders for penny stocks**

The typical “penny stock” is a very small company with highly illiquid and speculative shares. They trade at a relatively low price and market capitalization. The company’s policy is to classify the following stocks as “penny” stocks

- a. All stocks having current market price upto Rs.10.
- b. All stocks classified as Illiquid Securities as per Exchanges’ circulars from time to time.

An order for penny stock trading may be denied

1. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded.
2. If trading debarred / banned by any regulatory authority.
3. If trade pattern is objectionable (also includes frivolous, vexatious and malicious)
4. If otherwise not permissible under our Risk Management policy / Anti money laundering policy/ any other policy for the time being in force.
5. If 100% upfront margin is not paid or the securities are not to be delivered in Demat form.
6. If payment of Minimum Processing Charges on Contract Note is not agreed upon.
7. Where circumstances appear to justify such action or on reasonable grounds.

We shall not be held liable for restricting / prohibiting trade in penny stocks at any time. Also the Client shall indemnify us in respect of any loss caused to us by virtue of the Client trading in penny stock.

### **B. Setting up Client’s Exposure limit**

Clients will be granted turnover and exposure limits on the basis of available deposits being sufficient to cover upfront margin requirements.

- a. Deposits to
  - include margins specifically deposited by the clients
  - include what is withheld from settlement obligations as margin on payout.
  - exclude what is ploughed back from margin to meet settlement obligation on payin.
- b. Deposits may be made available in the form of cash, FDR, BG, Margin pledge of securities / other acceptable collaterals.
- c. In case of cheques, they must come from client’s designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- d. Haircuts will be applicable on the non cash component (other than Cash / BG/ FDR) of deposits at rates specified by Exchanges from time to time.
- e. Cash and Non cash component (after haircut) of deposits must be maintained in a specified ratio. Any non cash component in excess of specified proportion of cash component will not be reckoned. This specified ratio will depend upon the Credit Rating of the client from Risk Manager.

In case of derivatives, Clients shall be allowed to trade only upto the applicable clientwise position limits set by the Exchanges / Regulators from time to time.

The exposure limits set by TSSPL does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to compensate TSSPL in the event of TSSPL suffering any loss, harm or injury on account of exposure given and / or withdrawn.

### **C. Applicable brokerage rate**

- a. Brokerage on option contracts will be charged on the Premium amount.
- b. Brokerage rates not to exceed 2.5% of the contract price exclusive of statutory levies.

Exclusions:

- o In case of options, brokerage shall not exceed higher of 2.5% of premium amount or Rs. 100 per lot.
- o Where sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- c. Brokerage rate will be mutually decided before the onset of trading. Any change in future can only have prospective effect and must be effected in writing.

**D. Imposition of Penalty / Delayed Payment Charges**

Penalties will be levied on clients for :

- a. A violation by the client of the requirements / stipulations of Exchanges / any Regulatory Authority.
- b. His trading pattern been objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- c. His suspension of information / providing false information.

Further, any penalty / fine / charge imposed on us by Exchanges / any Regulatory Authority shall be fully recoverable from the client and the client will have to bear the same.

Rs.500 will be collected from clients in addition to actual recovery of Cheque Return Charges.

Any relaxation of the penalty on a client will require the Board's specific approval which may grant the same depending on the circumstances on case to case basis. Any such relaxation in a case no way entitles any client to seek relaxation in the same circumstances, either then or in future.

We are currently not charging any Delayed Payment charges.

No penalty / delayed payment charge shall be payable by us under any circumstances.

Clients to note : Ignorance of law is no excuse at law.

**E. Right to sell clients' securities or close clients' positions, without giving notice to the client**

Any failure on part of a client to pay the whole of the margin deposit and/or settlement obligation requirements, within the time permitted by the Rules and Regulations of Exchanges/ Regulatory Authorities, will entitle us to, without any notice to the client :

1. Withdraw trading facility from the client.
2. Square off / close-out all or any part of outstanding positions of client forthwith or any time thereafter, at our discretion, to the extent possible, by placing at the Exchange, counter orders. Such close-out/ square off shall be limited to the extent of client's margin/ settlement obligations.
3. Sale all or any part of client's securities standing pledged in our favour through CUSPA forthwith or any time thereafter at our discretion. Such close out shall be limited to the extent of client's margin / settlement obligations.
4. Invoke Margin Pledge.
5. Invoke BG / FDRs deposited with us.
6. Use other risk containment measures as may be deemed fit and appropriate under the circumstances.
7. Impose penalties / delayed payment charges / other disciplinary action fit and appropriate.

Though it will be our sincere effort to timely notify the client of the shortfall and give him reasonable time to make good the shortfall, this is a not a pre-condition to the exercise of the above rights, and the client should be aware of the timelines of meeting obligations himself.

The Risk Manager will consider the credit risk rating of the client and take all or any of above measures in a manner a man of just and reasonable mind would have done under the circumstances. The action shall be final and binding on the client and any profit / loss shall be borne by the client only.

In case of cheques, they must come from client's designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds. He will be exclusively guided by a risk containment focus and protection of company's interest. Clients are therefore advised to keep sufficient margins well in advance.

We reserve the above right, however, we are not obliged to close clients' positions / sell clients' securities, and it shall be the continued responsibility of the client to make payments towards outstanding dues/ obligations and / or applicable margins to TSSPL in time.

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

- a. When a ban of fresh position is in force in any security, no further position is allowed. In case a position has already been inadvertently taken, the existing position may be closed.
- b. In case of non-payment of dues – margin (which includes additional margins as and when levied) and settlement obligations (which includes daily MTM settlement of future contracts, final settlement of future contracts, premium settlement of option contracts, and exercise settlement of option contracts after commission, fees, and/or charges).
  - Margin requirement will be computed on a real-time basis.
  - Initial margin component is required on an upfront basis.
  - Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- c. If we are in close-out mode for any reason / if we are disabled for any reason.
- d. If the trading pattern is objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- e. In case violation of any directive / regulation/ laws / bye-laws of Exchanges / Other Regulatory Authorities will result or have resulted.
- f. Where the client is unable to provide funds / securities in a manner that can be transferred to the exchange immediately for pay-in / margin obligations.
- g. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving / paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities.
- h. On failure to comply with any of the provisions relating to delivery, payment and settlement of deals or any failure to fulfill the terms and conditions subject to which the deal has been made.
- i. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded or has exceeded.
- j. In case of high market volatility, where the current margins of the clients with us does not cover the value at risk of the client.
- k. If otherwise not permissible under our Risk Management policy / Due diligence policy / Anti money laundering policy/ any other policy for the time being in force.
- l. Where circumstances appear to justify such action or on reasonable grounds.

Besides restricting further trades/ closing existing trades, other measures as may be deemed fit may further be taken.

Any profit / loss on closing out shall be borne by client only.

**G. Internal shortages of securities**

If securities are not received in our Pool A/c from the selling client before the pay in date but there is no failure to meet securities obligations towards the Exchange, i.e., there is an instance of internal shortage, the following procedure will be adopted.

1. There will be a buying-in of shares against the selling client on the pay in date through a "deemed auction" for the benefit of buying client. The buying-in shall be from the market and may be with or without the notice of the client.

2. If for any reason whatsoever there couldn't be a buying-in on the pay in date, the shares will be deemed to be closed on on the pay in date using the following valuation:

Higher of :

- a. Highest price from the 1st day of the relevant trading period till the date of close out.
- b. Closing price on the pay in date plus 20%.

The selling client will be debited for "deemed auction" price / "close out" price. In case of close out, the buying client shall be credited for the close-out price.

Any loss of corporate benefit to the buyer of the securities shall be recovered from the defaulting seller's account.

#### **H. Temporarily suspending or closing a client's account at the client's request**

A client may give a written request for temporarily suspending/ closing his account. The request will be processed within a maximum of 2 working days from the date of receipt of the request provided:

- a. He doesn't owe us any money across all segments / Exchanges on any account.
- b. There are no outstanding / open positions of the client.

During such suspension, the client will not be in a position to trade with us. The suspension may be revoked by a request in writing from the client. This request will be processed within a maximum of 7 working days from the receipt of the request provided:

- a. He fulfills latest KYC standards applicable then.
- b. He provides any additional information that may be required by us / Regulatory Authorities then.
- c. He has not been debarred from trading by any Authority meanwhile.
- d. His conduct, till date, has been fair, honourable and just.

Notwithstanding any such suspension / closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure / suspension shall continue to subsist and binding on the client.

#### **I. Deregistering a client**

Deregistering a client shall mean complete termination of his trading agreement (irrespective of segment / exchange) with us. Once deregistered, a client will not be entertained back for fresh registration for atleast 1 year.

Deregistration can be initiated on client's specific written request provided full and final settlement of all his accounts with us both for funds and securities have been effected.

Deregistration can also be initiated by us in the following situations :

1. He is guilty of breach of terms and conditions of the Member Client Agreement.
2. If he is guilty of contravention, non-compliance, disobedience, disregard or evasion of any of the Bye laws, Rules and Regulations of the Exchange / Clearing Corporation / Other Regulatory Authorities or of any of their Resolutions, Orders, Notices, Discretions, decisions or rulings.
3. If he is guilty of any conduct, proceeding or method of business which is deemed dishonourable, disgraceful or inconsistent with just and equitable principles or detrimental to the interests of Trans Scan Securities Pvt. Ltd. or prejudicial or subversive to its objects and purposes.
4. His financial condition is found to be unsatisfactory to the extent that he cannot be permitted to do business with safety to ourselves.
5. He is otherwise not incapacitated to deal in securities / derivatives contracts.

Such deregistration shall not affect our rights against such client to recover any dues against him, i.e., our right as a creditor shall remain unaffected. Also the deregistered client shall be bound to fulfill deals and obligations outstanding at the time of his deregistration.

#### **J. Voluntary Freezing/Blocking of Online Access of Trading Accounts**

This policy outlines the procedure for clients to request the voluntary freezing or blocking of their online trading accounts to ensure timely and secure handling of such requests.

This policy applies to all clients enabled for online trading through the use of a login ID and password.

## Procedure

1. Clients must send a request to voluntarily freeze or block their online trading account to the dedicated email address 'stoptrade@transcansec.com' or call the dedicated phone line "033-40161646" for immediate action.
2. Requests must originate from the client's registered email ID or registered mobile number. If a request is received from an unregistered source, the client will be authenticated through a multiple-point questionnaire involving confidential information.
3. The client will be contacted immediately via a callback and/or email to verify their request.
4. Upon successful validation, the Risk Manager shall cancel all pending orders in the client's account and disable the online access of the trading account.
5. The Risk Department will issue an acknowledgment to the client, preferably via both email and SMS, confirming that there are no pending orders in the client's account and that the online access to the trading account has been disabled. This correspondence will also include information on the steps required to re-enable the account.
6. The client will be informed of any open positions, including contract expiry information, soon after the account is disabled.
7. Clients can request to re-enable their online access at any time. This process will involve repeating steps 2 (verification) and 3 (confirmation) above.

The timelines for freezing/ blocking of the online access of the clients' trading account is as under: -

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

The above Policies and Procedures are subject to change / updation from time to time. The updated Policies and Procedures shall be posted on the website [www.transcansec.com](http://www.transcansec.com). Clients are requested to refer to the updated Policies and Procedures and abide by the same.

## TARIFF SHEET

### A. BROKERAGE

1. Capital Market Segment (incl. OFS)	%	Min. Paisa*
Square up Brokerage (chargeable for each leg of transaction)	<input type="text"/>	<input type="text"/>
Delivery Brokerage	<input type="text"/>	<input type="text"/>

2. F&O Segment	%	Min. Paisa*	Min. Per Lot
Brokerage in Futures	<input type="text"/>	<input type="text"/>	<input type="text"/>
Brokerage in Options	<input type="text"/>	<input type="text"/>	<input type="text"/>

3. Currency Derivatives Segment (incl. IRF)	%	Min. Paisa*	Min. Per Lot
Brokerage in Futures	<input type="text"/>	<input type="text"/>	<input type="text"/>
Brokerage in Options	<input type="text"/>	<input type="text"/>	<input type="text"/>

4. Commodity Derivatives Segment	%	Min. Paisa*	Min. Per Lot
Brokerage in Futures	<input type="text"/>	<input type="text"/>	<input type="text"/>
Brokerage in Options	<input type="text"/>	<input type="text"/>	<input type="text"/>

5. Securities Lending & Borrowing Scheme	%	Min. Paisa*
First Leg	<input type="text"/>	<input type="text"/>
Reverse Leg	<input type="text"/>	<input type="text"/>

Minimum Processing Fees, in case of brokerage being less than ₹ 25/- in total brokerage booked on a particular date

₹

\* Minimum Paisa per Share / underlying share / unit of foreign currency

### B. TRANSACTION CHARGES & OTHER CHARGES

Exchange Transaction Charges, Stamp, SEBI Turnover charges, STT, Bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/ pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges will be levied on actual basis.

GST will be charged on all charges except Stamp and STT.

Date : \_\_\_\_\_

✓ \_\_\_\_\_  
(Signature of Client)

## AUTHORITY FOR RUNNING ACCOUNT

Date : \_\_\_\_\_

To  
**Trans Scan Securities Pvt. Ltd.**  
3A, Auckland Place, 2nd Floor  
Kolkata - 700 017

Dear Sir,

For operational convenience with respect to my/ our trading under the UCC \_\_\_\_\_,  
I/We wish to maintain a running account with you and accordingly authorize you here as under:

1. Funds may not be given to me/ us within one working day of the payout but may be withheld by you, and retained unless I/ We specifically ask for the same.
2. No interest shall be receivable by me/us on such funds withheld.
3. Such funds may be utilized towards my/our exposure/ margin/settlement/other obligations in the same / other segment / exchange on a continuous basis.
4. Securities bought may be inter-settled, i.e., inter-transferred from one settlement (where purchased) to another subsequent settlement (where sold). Any charges for such inter-settlement transfer may be debited to my / our account.

Further:

1. Funds deposited towards margin in a segment / exchange may be utilized, on a running basis, towards margin requirement / debit balance in any exchange / segment where I / We have the client account with you.
2. Similarly, securities pledged towards margin in a segment / exchange may be reckoned, on a running basis, towards margin requirement in any exchange / segment where I / We have the client account with you.

Finally:

1. To periodically settle my/ our accounts with you once every calendar month / quarter (*strike off what is not applicable*), except for BGs and FDRs, after retaining requisite funds and considering securities under pledge to provide for existing and expected obligations calculated in the manner specified by Exchanges.
2. And, otherwise, to deliver me /us the withheld funds and/or unpledge the securities being employed towards margin, whole or part as I/We specify, only on my/ our specific request, and that too after adjusting all my/our actual / expected obligations (margin / settlement / other dues) as on the date of release/ unpledge.

I / We reserve a right to revoke the above authorization at any time (i.e., without notice) which would continue until such revocation.

✓

\_\_\_\_\_  
(Signature of Account Holder only) [no POA holder allowed]

Signature (with rubber stamp)

## AUTHORIZATION TO SEND ELECTRONIC STATEMENTS

Date : \_\_\_\_\_

To

**Trans Scan Securities Pvt. Ltd.**

3A, Auckland Place, 2nd Floor  
Kolkata - 700 017

Dear Sir,

### Email Authorization :

I/ We hereby authorize you to electronically send me/ us my/ our Contract Notes, Daily Margin Statements, Monthly/ Quarterly Statements related to settlement of accounts, Annual Global Statement, Form 10DB, alerts, confirmations, etc. on my/our email id noted with you, i.e., \_\_\_\_\_ (same as on Page 7 Section G) , applicable with immediate effect.

Further:

- I/We hereby declare that the above email id belongs to  Self  Family  
(If family, specify the name of the person and relationship – Spouse / Dependant Parents / Dependant Children)  
Name (of Relative) : \_\_\_\_\_ Relation : \_(My) \_\_\_\_\_
- I/We agree that physical statements need not be sent to me/us, once sent over email.
- I/We also agree that non-receipt of bounced mail notification at your end shall amount to delivery at my/our email account. I/We also agree not to hold you responsible for late / non-receipt of contract notes/ other statements sent in electronic form 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 / other statements to me/us and such dispatch shall not be disputed by me/us on any account.
- I/We agree to my/ our responsibility to regularly check my/ our email account and keep it alive, running and not full. My/our non-verification or not accessing the contract notes / other statements on regular basis shall not be a reason for disputing the contract notes/ other statements at any time.
- If at any time my/our email address changes, I/ We will notify you of my/ our new email address through a physical letter\*.

✓ \_\_\_\_\_

(Signature of Client)

\*In respect of internet clients, the request for change of email id may be made through the secured access by way of client specific user id and password.

### Mobile Authorization:

I/ We hereby authorize you to send me/ us Trade confirmations and other commercial communication on my/ our mobile number noted with you, i.e., \_\_\_\_\_, applicable with immediate effect , even though I/We am/are registered or may register with National Do Not Call Registry.

Further:

- I/We hereby declare that the above mobile number belongs to  Self  Family  
(If family, specify the name of the person and relationship – Spouse / Dependant Parents / Dependant Children)  
Name (of Relative) : \_\_\_\_\_ Relation : \_(My) \_\_\_\_\_
- I/We understand and hereby accept that any message sent to the above mobile number regarding my/ our Trading would be deemed to have been duly received and acknowledged by me/ us.
- I/We hereby agree to notify you immediately on notice of any discrepancy / erroneous transaction done in my/ our Trading account, intimated to me/ us through SMS / Whatsapp alerts to the above mentioned mobile telephone number.
- I/We agree to your uploading my/ our mobile number to any Exchange and/or Exchange designated Agency to enable the concerned Exchange(s) to send details of Transaction on my account.
- If at any time my/our mobile number changes, I/ We will notify you of my/ our new mobile number through a physical letter.

✓ \_\_\_\_\_

(Signature of Client)

**VOLUNTARY**

## **AUTHORIZATIONS**

I/ We further authorize Trans Scan Securities Pvt. Ltd. here as under:

1. To accept my /our order placement / modification/ cancellation verbally and confirm about the same verbally. Thus there will be no requirement to send me/ us any order confirmation / cancellation/ modification / trade confirmation slips, etc.
2. To deliver contract notes/ statement of accounts/ cheques to my / our person /office which will be sufficiently deemed to have been personally delivered to me / us. These may also be sent to me /us by post / courier. I agree to bear Courier Charges.
3. To debit my trading account for the charges I owe to you on account of maintaining a DP account with your DP division known by the client id  
\_\_\_\_\_
4. To access my / our data through UIDAI system

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Signature of Client

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Signature of Client

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Signature of Client

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Signature of Client

## **UNDERTAKINGS**

I/We further undertake in favour of Trans Scan Securities Pvt Ltd. here as under:

1. All the trades done by me/ us through Trans Scan Securities Pvt. Ltd. shall be completely on my /our behalf and I/We shall not act as an unregistered sub-broker of Trans Scan Securities Pvt. Ltd.
2. I/We will indemnify fully and hold harmless TSSPL for any losses arising from the execution of order and / or instructions that got entered through the system at my/ our end.
3. You will not be liable for losses caused to me /us directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other condition beyond your control.
4. I/ We shall bring any dispute arising from the statement of account or settlement so made to your notice preferably within 7 working days from the date of receipt of funds/securities or statement, as the case may be.
5. I/We shall not hold Trans Scan Securities Pvt. Ltd. or any of its employee / official / agent / affiliate responsible or liable for any information, alleged / purported recommendation / advice with respect to any investment/trading decision or transaction, and if so acted upon by me/us, the same shall be at my/our sole risk and cost.
6. I/We will not question TSSPL for its unilateral action to comply with Exchanges/SEBI Rules & Regulations including, but not limited to, reduction of position if violating position limits, non execution of trades if manipulative trades observed, non acceptance of funds/ securities from 3rd party account, sale of shares standing pledged in our favour through CUSPA on non-payment, disablement on SEBI debarment/violations of PMLA provisions etc. Consequent profit/loss, if any, shall be mine/ours.

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Signature of Client

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Signature of Client

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Signature of Client

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Signature of Client

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Signature of Client

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Signature of Client

**VOLUNTARY**

## AADHAAR - INFORMED CONSENT

Date : \_\_\_\_\_

To

**Trans Scan Securities Pvt. Ltd. (TSSPL)**

3A, Auckland Place, 2nd Floor  
Kolkata - 700 017

Dear Sir,

I voluntarily opt for Aadhaar OVD KYC or e-KYC or offline verification, and submit to 'Trans Scan Securities Pvt. Ltd. [TSSPL]' my Aadhaar number, Virtual ID, e-Aadhaar, XML, Masked Aadhaar, Aadhaar details, demographic information, identity information, Aadhaar registered mobile number, face authentication details and/or biometric information (collectively, "Information").

I am informed by TSSPL, that:

- submission of Aadhaar is not mandatory, and there are alternative options for KYC and establishing identity including by way of physical KYC with officially valid documents other than Aadhaar. All options were given to me.
- For e-KYC/authentication/offline verification, TSSPL will share Aadhaar number and/or biometrics with CIDR/UIDAI, and CIDR/UIDAI will share with TSSPL, authentication data, Aadhaar data, demographic details, registered mobile number, identity information, which shall be used for the informed purposes mentioned below.

I authorise and give my consent to TSSPL, for the following informed purposes:

- KYC and periodic KYC process as per the PML Act, 2002 and rules thereunder and SEBI guidelines, or for establishing my identity, carrying out my identification, offline verification or e-KYC or Yes/ No authentication, demographic or other authentication/ verification/ identification as may be permitted as per applicable law, for all accounts, facilities, services and relationships of/through TSSPL, existing and future.
- collecting, sharing, storing, preserving Information, maintaining records and using the Information and authentication/verification/identification records: (a) for the informed purposes above, (b) as well as for regulatory and legal reporting and filings and/or (c) where required under applicable law;
- producing records and logs of the consent, Information or of authentication, identification, verification etc. for evidentiary purposes including before a court of law, any authority or in arbitration.

I understand that the Aadhaar number and core biometrics will not be stored/ shared except as per law and for CIDR submission. I have downloaded the e-Aadhaar myself using the OTP received on my Aadhaar registered mobile number. I will not hold TSSPL or its officials responsible in the event this document is not found to be in order or in case of any incorrect information provided by me.

The above consent and purpose of collecting Information has been explained to me in my local language.

\_\_\_\_\_  
(Signature of the client)

## CLIENT COMMODITYWISE CATEGORISATION (MANDATORY - ONLY FOR COMMODITY CLIENTS)

Trans Scan Securities Pvt. Ltd., 3A, Auckland Place, 2nd Floor, Kolkata - 700 017

I/We do hereby declare that my/our Commoditywise categorisation as a participant is as follows :

SR. NO.	SYMBOL DESCRIPTION	* FARMER FPOS	* VALUE CHAIN PARTICIPANTS (VCPs)	* DOMESTIC FINANCIAL INSTITUTIONAL INVESTORS	* FOREIGN PARTICIPANTS	* OTHERS
1.	ALUMINIUM					
2.	BARLEY					
3.	BRASS					
4.	CARDAMOM					
5.	CASTOR SEED					
6.	CHANA					
7.	COPPER					
8.	COPRA					
9.	CORIANDER					
10.	COTTON					
11.	COTTONSEED OIL CAKE					
12.	CRUDE OIL					
13.	CRUDE PALM OIL					
14.	DIAMOND					
15.	GOLD					
16.	GUARGUM					
17.	GUARSEED					
18.	ISABGUL					
19.	JEERA					
20.	JUTE					
21.	KAPAS					
22.	LEAD					
23.	MAIZE KHARIF					
24.	MAIZE RABI					
25.	MENTHA OIL					
26.	MOONG					
27.	NATURAL GAS					
28.	NICKEL					
29.	PADDY BASMATI					
30.	PEPPER					
31.	RAPEMUSTARD SEEDS					
32.	RBDPMOLEIN					
33.	RUBBER					
34.	SACK					
35.	SILVER					
36.	SOYABEAN					
37.	SOYA OIL					
38.	STEEL					
39.	SUGAR					
40.	TURMERIC					
41.	WHEAT					

I also give my consent to upload the information to the respective commodity exchanges.

\* **1) Farmers/FPOs** : It includes participants such as farmers, farmers' co-operatives, Farmers Producers Organisations (FPOs).  
**2) Value Chain Participants (VCPs)** : It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. **3) Domestic Financial Institutional Investors**: It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives. **4) Foreign Participants** : It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. **5) Others** : All other participants which cannot be classified in the above categories.

## FATCA/CRS DECLARATION FORM - FOR INDIVIDUAL

Applicant Name \_\_\_\_\_

### **PART I - Please fill in the country for each of the following :**

1. Country of :
  - a) Birth \_\_\_\_\_ b) Citizenship \_\_\_\_\_
  - c) Residence for Tax Purposes \_\_\_\_\_
2. US Person\* :  Yes  No

### **PART II - Please note :**

- a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to **Part III** for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent\*\* as issued in the specific country in the table below :
  - i) TIN \_\_\_\_\_ Country of Issue \_\_\_\_\_
  - ii) TIN \_\_\_\_\_ Country of Issue \_\_\_\_\_
  - iii) TIN \_\_\_\_\_ Country of Issue \_\_\_\_\_
- a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.
- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate  
\_\_\_\_\_

Please also fill **Part IV** Self-Certification.

### **PART III - Customer Declaration (Applicable for all customers)**

- (i) Under penalty of perjury, I/we certify that :
  1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
  2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**
- (ii) I/We understand that Trans Scan Securities Pvt. Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Trans Scan Securities Pvt. Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iv) I/We agree that as may be required by domestic regulators/tax authorities Trans Scan Securities Pvt. Ltd. may also be required to report, reportable details to CBDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature : \_\_\_\_\_

Name : \_\_\_\_\_ Date (DD/MM/YYYY) : \_\_\_\_\_

#### **PART IV - Self-Certification :**

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

---

Signature

Document Proof submitted (Please tick document being submitted)

Passport  Election Id Card  PAN Card  Driving License  UIDAI Letter  NREGA Job Card  Govt. Issued ID Card

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\* **U.S. Person** means,

- (a) an individual, being a citizen or resident of the United States of America;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
  - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
  - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

\*\* **Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number

Dated : \_\_\_\_\_

From :

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

To

**Trans Scan Securities Pvt. Ltd.**

3A, Auckland Place, 2nd Floor

Kolkata - 700 017

**Ref. : Acknowledgement for the receipt of documents**

Dear Sir,

This is to acknowledge and declare that

- I/We have received a photocopy of the KYC (full booklet including Investors' Charter), duly executed with you, to my/our satisfaction including my / our Unique Client Code (Trading Code) at no cost.
- I/We have ( Physically  Electronically) received, read and understood the
  - Rights & Obligations, Risk Disclosure Documents, Guidance Note.
  - Rights & Obligations, applicable to SLBS
- I/We have received, read and understood the Policies and Procedures and agree to abide by the same.
- The email id noted with you (for ECN and other purposes) is correct.

Thanking you,

Yours truly,

✓ \_\_\_\_\_

Signature of the Client

Client Code \_\_\_\_\_