

## 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](mailto:transdp@rediffmail.com), Website : [www.transcansec.com](http://www.transcansec.com)

CIN : U67110WB1994PTC066343, SEBI Regn. No. INZ000266638

### 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](mailto:care@globecapital.com), Website : [www.globecapital.com](http://www.globecapital.com)

CIN : U74100DL1985PLC021350, SEBI Regn. No. INZ000177137

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For any grievance / dispute, please contact **Trans Scan Securities Pvt. Ltd.** at the above address or email id: [ig\\_trans@hotmail.com](mailto: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](mailto:ignse@nse.co.in) - (022) 2659-8190

BSE - [isc.mumbai@bseindia.com](mailto: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.

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

# ACCOUNT OPENING KIT (VER 1.08)

<b>INDEX OF DOCUMENTS</b>		
S.NO.	NAME OF THE DOCUMENT AND ITS BRIEF SIGNIFICANCE	PAGE NOS.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>		
<b>1.</b>	<b>Account Opening Form</b>	
	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	<b>1 - 9</b>
	B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	<b>10 - 13</b>
<b>2.</b>	<b>Policies and Procedures</b>	<b>14 - 17</b>
	Document describing significant policies and procedures of the stock broker.	
<b>3.</b>	<b>Tariff sheet</b>	<b>18</b>
	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	
<p><b>Note :</b> Standard Mandatory Documents viz. Rights &amp; Obligations of Stock Broker, Sub-broker and Client for trading on exchanges, 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 11.</p>		
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER *</b>		
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<b>6.</b>	<b>Other Authorisations and Undertakings</b>	<b>21</b>
	Varied instructions facilitating smooth operation of the account.	
<b>FORMATS</b>		
(Indicative formats to be used by different types of clients to be given at the time of registration.)		
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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 Non- 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**1. Entity Details** (please refer guidelines)

PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card  Form 60 furnished  
 TIN / GST Regn. No. \_\_\_\_\_

Name\* (same as ID proof) \_\_\_\_\_

Entity Constitution Type \_\_\_\_\_ Others (Specify) \_\_\_\_\_ (Please refer Instruction G at the end)

Date of Incorporation\* \_\_\_\_\_ Place of Incorporation\* \_\_\_\_\_

Date of Commencement\* \_\_\_\_\_ Registration Number\* \_\_\_\_\_

Entity Type\*  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  
 Trust/Charity/NGO  HUF  FPI Category I  FPI Category II  
 AOP  Bank  Government Body  Defence Establishment  
 Body of Individuals  Society  LLP  
 Non-Government Organization  
 Others \_\_\_\_\_

Please Tick (✓)

**2. Proof of Identity\*** (please refer the guidelines)

- Officially Valid Document(s) in respect of person authorized to transact
- Certificate of Incorporation/Formation \_\_\_\_\_  Registration Certificate \_\_\_\_\_
- Memorandum of Articles and Association  Partnership Deed  Trust Deed
- Board Resolution  Power of attorney granted to its manager, office, employees to transact on its behalf
- Activity Proof -1\* (For Sole Proprietorship Only)  Activity Proof -2\* (For Sole Proprietorship Only)

**3. Address Details\*** (please refer the guidelines)**A. Registered Address\***

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

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

Line3 \_\_\_\_\_

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

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

**B. Correspondence/Local Address in India** (if different from above)\*

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

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

Line3 \_\_\_\_\_

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

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

Applicant Signature

**Proof of Address\*** (attested copy of any one POA to be submitted—<sup>#</sup>Not more than 3 months old)

<input type="checkbox"/> Certificate of Incorporation/Formation	<input type="checkbox"/> Registration Certificate	<input type="checkbox"/> Other document _____
<input type="checkbox"/> Latest Telephone Bill <sup>#</sup> (Landline only)	<input type="checkbox"/> Latest Electricity Bill <sup>#</sup>	<input type="checkbox"/> Latest Bank Account Statement <sup>#</sup>
<input type="checkbox"/> Registered Lease/ Sale Agreement of Office Premises	Validity/Expiry Date of POA (Expiry Date) ____ _	
<input type="checkbox"/> Any other proof of address document (as listed overleaf)	_____	

**4. Contact Details**

Email ID _____	Mobile No. _____
Email ID _____	Mobile No. _____
Tel (off) _____	Fax _____

**5. Annexures Submitted**

Number of Related Persons -

**6. Remarks / Additional Information**

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

**7. Applicant Declaration**

I hereby declare that the details furnished above are true and correct to the best of my/our 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/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

DATE: \_\_\_\_ \_ (DD-MM-YYYY)

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

Applicant Signature

**8. For Office Use Only**

In-Person Verification (IPV) & KYC Verification carried out by\*

Intermediary Details\*

KYC Date \_\_\_\_ \_

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

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

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

Self certified document copies received (Originals Verified)

True Copies of documents received (Attested)

AMC / Intermediary Name OR Code:

**Trans Scan Securities Pvt. Ltd.**

Employee Signature and Stamp

Employee Signature and Stamp

**Know Your Client (KYC)****Annexure (For Non- Individuals Only)**Application Number: 

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

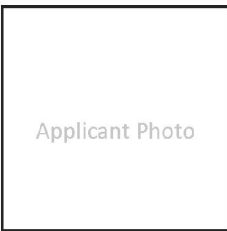
KYC No. :  (Mandatory for KYC update request)Application Type\*:  New KYC  Modification KYC**1. Identity Details of Related Person (please refer guidelines overleaf)**PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card  Form 60 furnished

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name\* (if any) \_\_\_\_\_

Fathers/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_/\_\_\_\_/\_\_\_\_

Gender\*  Male  Female  TransgenderNationality\*  Indian  Other \_\_\_\_\_**Related Person Type\*** Director  Promoter  Karta  Trustee  Partner  Court Appointed Official Proprietor Beneficiary  Authorized Signatory  Beneficial Owner  Power of Attorney Holder Others \_\_\_\_\_ (please specify) DIN: \_\_\_\_\_ (mandatory if the related person is Director)**Proof of Identity (POI) submitted for PAN exempted cases (Please tick)** 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 \_\_\_\_\_ Z — Others \_\_\_\_\_ (any document notified by Central Government)

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

**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 \_\_\_\_\_  
 Line3 \_\_\_\_\_  
 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 POA 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**

Email ID \_\_\_\_\_  
 Mobile No. \_\_\_\_\_  
 Tel (Off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

I hereby declare that the details furnished above are true and correct to the best of my/our 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/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  
 DATE: \_\_\_\_ - \_\_\_\_ - \_\_\_\_ (DDMM-YYYY)  
 PLACE: \_\_\_\_\_

Applicant Signature \_\_\_\_\_

**5. For Office Use Only**

In-Person Verification (IPV) & KYC Verification carried out by*	Intermediary Details*
KYC Date      ____ - ____ - ____ Emp. Name      _____ Emp. Code      _____ Emp. Designation      _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) <div style="border: 1px solid black; padding: 5px; text-align: center;"><b>Trans Scan Securities Pvt. Ltd.</b></div>
Employee Signature and Stamp	Institution Name and Stamp

**Know Your Client (KYC)**  
**Annexure (For Non- 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

**1. Identity Details of Related Person (please refer guidelines overleaf)**

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

Name\* (same as ID proof) \_\_\_\_\_

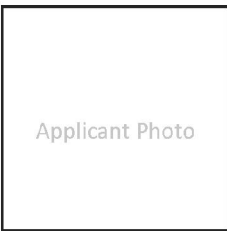
Maiden Name\* (if any) \_\_\_\_\_

Fathers/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_/\_\_\_\_/\_\_\_\_

Gender\*  Male  Female  Transgender

Nationality\*  Indian  Other \_\_\_\_\_



**Related Person Type\***

- Director  Promoter  Karta  Trustee  Partner  Court Appointed Official Proprietor  
 Beneficiary  Authorized Signatory  Beneficial Owner  Power of Attorney Holder  
 Others \_\_\_\_\_ (please specify) DIN: \_\_\_\_\_ (mandatory if the related person is Director)

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

- 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 \_\_\_\_\_  
 Z — Others \_\_\_\_\_ (any document notified by Central Government)  
 Identification Number \_\_\_\_\_

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

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

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

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

Line3 \_\_\_\_\_

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 \_\_\_\_\_  
 Line3 \_\_\_\_\_  
 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 POA 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**

Email ID \_\_\_\_\_  
 Mobile No. \_\_\_\_\_  
 Tel (Off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

I hereby declare that the details furnished above are true and correct to the best of my/our 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/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  
 DATE: \_\_\_\_ \_\_\_\_ \_\_\_\_ (DDMM-YYYY)  
 PLACE: \_\_\_\_\_

Applicant Signature \_\_\_\_\_

**5. For Office Use Only**

In-Person Verification (IPV) & KYC Verification carried out by*	Intermediary Details*
KYC Date      ____ ____ ____ Emp. Name      _____ Emp. Code      _____ Emp. Designation      _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) <div style="border: 1px solid black; padding: 5px; text-align: center;"><b>Trans Scan Securities Pvt. Ltd.</b></div>
Employee Signature and Stamp	Institution Name and Stamp

## Instructions/Guidelines for filling Non-Individual KYC Application Form

### A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list 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 addresses 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/ PIOCard / OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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., Head of State or of Government, senior politician, senior government/judiciary/ military officer, senior executive of state owned corporation, important political party official, etc.

### B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z - Others (any document notified by the central government)' is ticked.
5. Others - Identity card with applicant's photograph issued by any of the following: Central / State Government 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):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes - Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card/document with address issued by any of the following: Central / State Government 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.
4. Self declaration of High courts / Supreme court judges, giving the new address in respect of their own accounts.
5. Proof of address in name of spouse may be accepted.
6. Registered lease or Sale agreement / Flat maintenance bill / Insurance copy / Ration card / Latest Property tax.
7. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card.

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

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FII, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. 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. Online Mode Processing of KYC**

**1. ONLINE KYC**

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be digitally signed using DSC.
- Intermediary attestation on documents (OSV) is exempted.

**G. Entity Constitution Type**

A - Sole Proprietorship	G - Association of Persons (AOP) /	L - Public Sector Banks
B - Partnership Firm	Body of Individuals (BOI)	M - Central/State Government Department or Agency
C - HUF	H - Trust	N - Section 8 Companies (Companies Act, 2013)
D - Private Limited Company	I - Liquidator	O - Artificial Jurisdictional Person
E - Public Limited Company	J - Limited Liability Partnership	P - International Organisation or Agency /
F - Society	K - Artificial Liability Partnership	Foreign Embassy or Consular Office etc.
		Q - Not Categorized
		R - Others
		S - Foreign Portfolio Investors

<b>Type of Entity</b>	<b>Additional Documents Required over and above PAN, POI and POA</b>
Corporate	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last to financial years (to be submitted every year).</li> <li>• Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulations, duly certified by the company secretary / whole time director / MD (to be submitter every year).</li> <li>• Photograph, POI, POA, PAN and DIN number of the whole time Director / 2 directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control—either directly or indirectly.</li> <li>• Copy of Memorandum and Articles of Association and Certificate of Incorporation.</li> <li>• Copy of Board Resolution for Investment in security markets.</li> <li>• Authorized signatories list with specimen signatures.</li> <li>• Shareholding pattern.</li> </ul>
Partnership Firm	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last to financial years (to be submitted every year).</li> <li>• Certificate of Registration (for registered partnership firms only).</li> <li>• Copy of Partnership Deed.</li> <li>• Authorized signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> <li>• Shareholding pattern.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last to financial years (to be submitted every year).</li> <li>• Certificate of Registration (for registered Trusts only).</li> <li>• Copy of Trust Deed.</li> <li>• List of Trustees certified by Managing Trustees / CA</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of Declaration of HUF or List of Co-Parceners.</li> <li>• Bank Passbook / Bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of KARTA.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> <li>• Proof of existence or Constitution document.</li> <li>• Resolution of Managing Body and power of Attorney granted to transact business on its behalf.</li> </ul>
Army/Government Bodies	<ul style="list-style-type: none"> <li>• Copy of Constitution/Registration or Annual report / Balance Sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Army/Government Bodies	<ul style="list-style-type: none"> <li>• Self certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Society Registration Act.</li> <li>• List of managing committee members.</li> <li>• Committee Resolution for persons authorized to act as authorised signatories with specimen signatures.</li> <li>• True copy of society rules and by-laws certified by Chairman/Secretary.</li> </ul>
FPI Category I	<ul style="list-style-type: none"> <li>• FPI Certificate</li> <li>• Constitution Documents</li> <li>• Copy of Board Resolution (optional)</li> <li>• Shareholding pattern and Ultimate Beneficiary Owners List (UBO)</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
FPI Category II	<ul style="list-style-type: none"> <li>• FPI Certificate</li> <li>• Constitution Documents</li> <li>• Copy of Board Resolution</li> <li>• Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>

## TRADING ACCOUNT RELATED DETAILS

### A. BANK ACCOUNT(S) DETAILS

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

### B. DEPOSITORY ACCOUNT(S) DETAILS

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

### C. TRADING PREFERENCES

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

Exchange	Segment	Signature
1. National Stock Exchange of India Ltd.	- Cash (including OFS)	✓
	- F&O	✓
	- Currency Derivatives (incl. IRF)	✓
	- SLBS*	✓
	- Commodity Derivatives	✓
2. BSE Limited	- Cash (including OFS)	✓
	- F&O	✓
	- Currency Derivatives (incl. IRF)	✓
# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter would be required from the client.		
* SLBS has its own set of Rights and Obligations Document. Please ask for the same, if applicable.		

#### 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 :

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

#### 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 :

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

#### 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 : \_\_\_\_\_



## FOR OFFICE USE ONLY

UCC Code allotted to the Client : \_\_\_\_\_

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

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

\_\_\_\_\_  
**Signature of the Authorised Signatory**

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

\_\_\_\_\_  
**Seal/Stamp of the stock broker**

### INSTRUCTIONS / CHECK LIST

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

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

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

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals :
  - 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.
  - 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 :
  - Form need to be initialized by all the authorized signatories.
  - 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.

**MANDATORY**

## **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 held in CUSA 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 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 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 T+2 day, the shares will be deemed to be closed on T+2 day 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 auction day (T+2) plus 5%.

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.

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)				4. Commodity Derivatives Segment			
	%	Min. Paisa*			%	Min. Paisa*	Min. Per Lot
Square up Brokerage (chargeable for each leg of transaction)	<input type="text"/>	<input type="text"/>	<input type="text"/>	Brokerage in Futures	<input type="text"/>	<input type="text"/>	<input type="text"/>
Delivery Brokerage	<input type="text"/>	<input type="text"/>	<input type="text"/>	Brokerage in Options	<input type="text"/>	<input type="text"/>	<input type="text"/>
2. F&O Segment				5. Securities Lending & Borrowing Scheme			
	%	Min. Paisa*	Min. Per Lot		%	Min. Paisa*	
Brokerage in Futures	<input type="text"/>	<input type="text"/>	<input type="text"/>	First Leg	<input type="text"/>	<input type="text"/>	
Brokerage in Options	<input type="text"/>	<input type="text"/>	<input type="text"/>	Reverse Leg	<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"/>				

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 11 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

\_\_\_\_\_  
Signature of Client

\_\_\_\_\_  
Signature of Client

\_\_\_\_\_  
Signature of Client

- 4. To access my / our data through UIDAI system

\_\_\_\_\_  
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 from CUSA on non-payment, disablement on SEBI debarment/violations of PMLA provisions etc. Consequent profit/loss, if any, shall be mine/ours.

\_\_\_\_\_  
Signature of Client

\_\_\_\_\_  
Signature of Client

\_\_\_\_\_  
Signature of Client

\_\_\_\_\_  
Signature of Client

\_\_\_\_\_  
Signature of Client

\_\_\_\_\_  
Signature of Client

**FORMAT OF BOARD RESOLUTION (ON COMPANY’S/TRUST’S LETTERHEAD)**

Extracts of the Minutes of the Meeting of the Board of Directors of <<COMPANY/TRUST NAME>> at its Registered Office at \_\_\_\_\_

\_\_\_\_\_ on \_\_\_\_\_

“RESOLVED THAT the company/trust may invest / trade in Securities / Derivatives Market and be registered as CLIENT with Trans Scan Securities Pvt. Ltd., a Member of NSE and BSE, for the purpose of dealing/trading in equities, equity derivatives, currency derivatives, debentures, debt products in NSE/BSE and the said member be and is hereby authorized to honour all instructions oral or written, given on behalf of the Company by any one of the undernoted authorized signatories:-

<<Name of the authorised signatory>> – <<Designation>>

<<Name of the authorised signatory>> – <<Designation>>

who are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with through Trans Scan Securities Pvt. Ltd. on behalf of the Company/Trust.

RESOLVED FURTHER THAT <<Authorised Signatory(ies), Designation>> of the Company/Trust be and are hereby <<MODE OF OPERATION i.e., singly/severally/jointly>> authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT <<Authorised Signatory>> is hereby authorized to submit the above resolution to Trans Scan Securities Pvt. Ltd.

For

Chairman/Company Secretary

Specimen Signatures of the above noted Authorised Signatory(ies)

Name	Signature

Please Note :

- 1) Board of Resolution must be signed by at least two directors/trustees.
- 2) Attach ‘List of Directors/Trustees’ as on date

## DECLARATION OF JOINT FAMILY

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

A/c No. \_\_\_\_\_

As our HUF wishes to open a trading account with your Company in the name of \_\_\_\_\_  
\_\_\_\_\_ we hereby state that the first signatory to this letter,  
i.e. \_\_\_\_\_ is the KARTA of the Joint Family and  
other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said Joint Family is carried on mainly by the said KARTA in the interest and benefit of the entire body of co-parceners of the Joint Family. We all undertake that claims due to the Trans Scan Securities Pvt. Ltd. from the said family shall be recoverable personally from all or any of us and also from the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1932, we have not got our said Family registered under the said Act. We hereby undertake to inform Trans Scan Securities Pvt. Ltd. of the death or birth of any co-parcener or any change occurring at any time in the membership of our joint Family during the currency of the account

Name and Signature of Karta

1. \_\_\_\_\_ Sd/- \_\_\_\_\_

Names and Signatures of Adult Co-parceners

1. \_\_\_\_\_ Sd/- \_\_\_\_\_

2. \_\_\_\_\_ Sd/- \_\_\_\_\_

3. \_\_\_\_\_ Sd/- \_\_\_\_\_

4. \_\_\_\_\_ Sd/- \_\_\_\_\_

Names and Dates of Birth of minor Co-parceners

1. \_\_\_\_\_ DOB \_\_\_\_\_

2. \_\_\_\_\_ DOB \_\_\_\_\_



**DETAILS OF MULTIPLE BANK/DEPOSITORY ACCOUNTS TO BE USED FOR PAYIN/PAYOUT**

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

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

Dear Sir,

During the course of dealings with you, I/We may use my/our various bank/depository account for payin of funds/securities. The details of the same are as under :

**BANK ACCOUNTS**

Sl. No.	Name, Address, Tel No. & Fax No. of the bank	Type of Account	Account No.

**DEPOSITORY ACCOUNTS**

Sl. No.	Name of depository (CDSL/NSDL)	Client Name	Client Id	DP Name	DP ID No.

**The relevant proof of aforesaid accounts standing in my/our name are enclosed.**

Further I/We request you to give payout of funds to my/our Bank Account mentioned at Sr. No. \_\_\_\_\_ above and payout of securities to my/our Depository Account mentioned at Sr. No. \_\_\_\_\_ above.

Thanking You.

✓ \_\_\_\_\_

Signature (with rubber stamp)

## 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.

## **DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP**

(Mandatory For Non-Individuals)

Investor Name \_\_\_\_\_ PAN \_\_\_\_\_

### **Part I - LISTED COMPANY / ITS SUBSIDIARY COMPANY [If applicable, Part II Not Applicable]**

We hereby declare that the Applicant/ Owner of the controlling interest in the applicant

- is a Company listed on a Stock Exchange
- is a majority-owned subsidiary of a Company listed on a Stock Exchange

Name of the holding/ parent company (with % share) \_\_\_\_\_

Name of such Listed Company (if not the Applicant itself) \_\_\_\_\_

Stock Exchange where listed \_\_\_\_\_ Security ISIN \_\_\_\_\_

### **Part II - OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY**

Name & Address of the Ultimate Beneficial Owner [UBO]	PAN or any other identification proof where PAN not applicable	Country of tax residency	% of beneficial interest in the Applicant	Whether Politically Exposed?	UBO Code (see instruction next page)
(1)					
(2)					
(3)					

If UBO is already KYC compliant, KYC complied proof to be enclosed. Else PAN or any other valid identity proof and address proof must be attached (self certified by the UBO and certified by the Applicant)

### **Part III - DECLARATION**

<p>We understand that Trans Scan Securities Pvt. Ltd. is relying on this information for the purpose of determining the beneficial ownership of the account. We certify that the information we provided on this form is true and complete to the best of our knowledge and belief. We agree to submit a new form within 30 days if any information or certification on this form gets changed.</p>	<p>_____</p> <p>Authorised Signatory [with seal]</p> <p>Date : _____ Place : _____</p>
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**In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit.**

## **GENERAL INFORMATION & INSTRUCTIONS**

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

Ultimate Beneficiary Owner [UBO]:

### **A. For Investors other than individuals or trusts:**

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

### **B. For Investors which is a trust:**

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

### **C. Exemption in case of listed companies/foreign investors**

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/ MIRSD/ 11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

### **UBO Code Description**

- UBO-1 : Controlling ownership interest of more than 25% of shares or capital or profits of the Applicant, where the Applicant is a company
- UBO-2 : Controlling ownership interest of more than 15% of the capital or profits of the Applicant, where the Applicant is a partnership
- UBO-3 : Controlling ownership interest of more than 15% of the property or capital or profits of the Applicant, where the Applicant is an unincorporated association or body of individuals
- UBO-4 : Natural person exercising control over the Applicant through other means i.e., exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
- UBO-5 : Natural person who holds the position of senior managing official [In case no natural person could be identified as above]
- UBO-6 :The settler(s) of the trust
- UBO-7 :Trustee(s) of the Trust
- UBO-8 :The Protector(s) of the Trust [if applicable].
- UBO-9 :The beneficiaries with 15% or more interest in the trust if they are natural person(s)
- UBO-10 : Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

## FATCA/CRS DECLARATION FORM - FOR NON-INDIVIDUAL

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

### **PART I**

- A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:  
 Yes  No  
*If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company \_\_\_\_\_ and proceed to sign the declaration.*
- B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India :  Yes  No  
*If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.*
- C. Is the account holder an Indian Financial Institution :  Yes  No  
*If "yes", please provide your GIIN, if any \_\_\_\_\_. If "No", proceed to point D.*
- D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen :  Yes  No  
*If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.*

### **CUSTOMER DECLARATION**

( ) 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 to 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.
  - (i) 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 FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
  - (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
  - (iii) 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.
  - (iv) 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.

Name of the Entity \_\_\_\_\_

Signature 1 \_\_\_\_\_ Signature 2 \_\_\_\_\_

Signature 3 \_\_\_\_\_ ( As per MOP)

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

**PART II**

**Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards(CRS)**

**Section 1 : Entity information**

Name of Entity \_\_\_\_\_

Customer id (if existing) \_\_\_\_\_ Entity Constitution Type \_\_\_\_\_

Entity Identification type :  Tax Identification Number (TIN)  US GIIN  Company Identification Number  
 Global Entity Identification Number (EIN)  Other

Entity Identification No. \_\_\_\_\_

Entity Identification issuing country \_\_\_\_\_ Country of Residence for tax purpose \_\_\_\_\_

**Section 2 : Classification of Non-Financial entities**

I/We (on behalf of the entity) certify that the entity is:

- a) An entity incorporated and taxable in US (Specified US person) :  Yes  No  
If "Yes", please provide your U.S. Taxpayer Identification Number (TIN) \_\_\_\_\_
- b) An entity incorporated and taxable outside of India (other than US) :  Yes  No  
If "Yes", please provide your TIN or its functional equivalent \_\_\_\_\_  
Provide your TIN issuing country \_\_\_\_\_
- c) Please provide the following additional details if you are not a Specified US Person :

**FATCA / CRS classification for Non-financial entities (NFFE)**

- Active NFFE  Passive NFFE without any controlling Person
- Passive NFFE with Controlling Person(s) : US  Others
- Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus Trans Scan Securities Pvt. Ltd. is not required to do the reporting)

Please provide GIIN number : \_\_\_\_\_

**Section 3 : Classification of financial institutions (including Banks)**

I/We (on behalf of the entity) certify that the entity is :

- a. An entity is a U.S. financial institution :  Yes  No  
If "Yes", (i) Please provide your Taxpayer Identification Number (TIN)  
(ii) Please provide GIIN, if any \_\_\_\_\_

If "No", please tick one of the following boxes below :

**FATCA classification**

**Please provide the Global Intermediary Identification number (GIIN) or other information where**

- Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction \_\_\_\_\_
- Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction \_\_\_\_\_
- Participating FFI in a Non-IGA Jurisdiction \_\_\_\_\_
- Non-reporting FI \_\_\_\_\_
- Non-Participating FI \_\_\_\_\_
- Owner-Documented FI with specified US owners \_\_\_\_\_

#### Section 4 : Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

#### Section 5 : Declaration

- (i) Under penalty of perjury, I/we certify that :
- The number shown on this form is the correct taxpayer identification number of the applicant, and
  - 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, or
  - The applicant is an applicant taxable as a tax resident under the laws of country outside 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 CRS/FATCA. 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 gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, Trans Scan Securities Pvt. Ltd. shall be required to comply 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 tax payer identification number of the applicant.

**I/We hereby confirm that details provided are accurate, correct and complete**

Authorized Signatories and Company Seal (if applicable)

Name \_\_\_\_\_

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

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), 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 \_\_\_\_\_

**Revised format for Trading Preferences on Page 10**

**C. TRADING PREFERENCES**

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

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

As required by SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/180 dt.13.11.2023  
(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.

---

Signature of the Client

**Aadhaar - informed consent :**

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.

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(Signature of the authorized signatory)