



A G Shares & Securities Ltd.

EMPOWERING INVESTMENT THROUGH INTELLIGENCE

Our Service

- Wealth Management
- Financial Planning
- Risk Management
- Depository Services

Why Choose Us

- Expert Team
- Dedicated Support
- Transparency
- Member Broker
 - NSE
 - BSE
 - MCX
 - NSDL



ACCOUNT OPENING FORM

Client Code

Client Name

DP ID

DP Plan

Contact

+91-562-4028900,923

info@agssl.in

www.agssl.in





A.G. SHARES & SECURITIES LIMITED

EXCHANGE NAME	SEGMENT	SEBI REGISTRATION NO.	MEMBER ID	DATE
NSE	Cash	INZ000169733	08257	21-03-2018
NSE	F&O	INZ000169733	08257	21-03-2018
BSE	Cash	INZ000169733	6597	21-03-2018
BSE	F&O	INZ000169733	6597	21-03-2018
BSE	Currency	INZ000169733	6597	21-03-2018
MCX	Commodity	INZ000169733	40345	21-03-2018
NSDL	Depository Participant	IN-DP-493-2020	IN301006	25-06-1999

Registered Office Address:

Shop No.-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002
Website: www.agssl.in

Corporate Address:

Block No. 20/4, 1st Floor Maruti Tower Sanjay Place, Agra-282002
Phone: 0562-4028900,
E-mail Id:- info@agssl.in

Compliance Officer Details (Trading)

Name : Krishna Kumar Tiwari
Phone No. : +0562-4028928
Email id : compliance@agssl.in

Compliance Officer Details (DP):

Name : Krishna Kumar Tiwari
Phone No. : +0562-4028928
Email id : compliance@agssl.in

Managing Director Details

Name : Ajay Kumar Agarwal
Phone No. : +0562-4028900
Email id : ceo@agssl.in

For any grievance/dispute please contact stock broker A.G. SHARES & SECURITIES LTD. at the above address Block 20/4, 1st Floor, Maruti Tower, Sanjay Place, Agra – 282 002. Email id: info@agssl.in and Phone No. 0562-4028900. In case not satisfied with response, please contact the concerned exchange(s) at:

Exchange Name	Email ID	Phone No.
NSE	ignse@nse.co.in	+91-22-26598190
BSE	is@bseindia.com	+91-22-22721233/34
NSDL	relations@nsdl.co.in	+91-22-24994200
MCX	grievance@mcxindia.com	+91-22-66494070

Procedure for Filing of complaints on SCORES 2.0 – Easy & quick

- Register on SCORES 2.0 portal
- Mandatory details for filing complaints on SCORES 2.0: Name, PAN, Address, Mobile Number, Email
- Benefits: i. Effective communication ii. Speedy redressal of the grievance

ACKNOWLEDGEMENT TO AG Shares and Securities Limited FROM CLIENT

To,
AG Shares and Securities Limited
Shop No.:-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place,
Agra- 282002

Date: _____

I/We intend to open a trading account with you AG Shares and Securities Limited herein after called 'Member' who is Member of NSE,BSE, MCX acknowledge as follows:

1. I/We have been duly made aware by Member that client has a preference to receive the below mentioned documents either in electronic form or in physical form:
 - A. Right and Obligations of Stock Brokers and Clients
 - B. Internet and Wireless technology based trading facility provided by Stock Brokers to Client
 - C. Risk and Disclosure document for capital market, derivative, currency & commodity segments
 - D. Guidance note-Do's and Don't for trading on the Exchange(s) for Clients/Investors
 - E. Policies & Procedures
 - F. Other disclosure/ documents as agreed by me/us specifically in voluntary segment.
2. I/We am/are further made aware by Member that for receiving the above said documents in Electronic or Physical Form, I/We have to accord my/our consent.
3. Therefore, in reference to the above, I/We hereby voluntarily accord my/our consent to receive the aforesaid documents in:-
☐ Electronic Form ☐ Physical Form
4. If I/We opted for the same in Electronic mode, then Member can send said aforesaid documents at my registered email id.
5. I/We have been further made aware by my/our Member that the aforesaid documents has also been available at the Member's website i.e www.agssl.in
6. I/We am/are made aware that the non receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my registered email id info@agssl.in
7. I/We hereby accord my/our consent to an arbitration agreement by virtue of which I/We shall refer all my/our claims, differences or disputes between us which might have arise out of my/our trading, deposits, margin money, etc. in relation to my/our dealings in contracts and transactions which have been made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into, to the arbitration in accordance with the provisions of these Byelaws, Rules and Regulations of the Exchanges and SEBI.



Client Signature

Client Name: _____

(Tear Here)

RECEIPT OF PHYSICAL KIT

To,
AG Shares and Securities Limited
Shop No.:-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place,
Agra- 282002

Date: _____

I/We hereby confirm that I/We have received a copy of following documents:

- A. Right and Obligations of Stock Brokers and Clients
- B. Internet and Wireless technology based trading facility provided by Stock Brokers to Clients
- C. Risk and Disclosure document for capital market, derivative, currency & commodity segments
- D. Guidance note-Do's and Don't for trading on the Exchange(s) for Clients/Investors
- E. Policies & Procedures
- F. Other disclosure/ documents as agreed by me/us specifically in voluntary segment.
- G. Executed copy of the Account Opening Kit.



Client Signature

Client Name: _____

----- (Tear Here) -----

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Mandatory Documents as prescribed by SEBI & exchanges

Name of the Documents	Brief Significance of the Documents	Page Number
Account Opening Form	Kyc Form - Documents captures the basic information about the constituent and an instruction / check list	7 - 8
	Document captures the additional information about the constituent relevant to trading account and an instruction/check list	9 - 12
Right and Obligations	Document stating the Rights & Obligations of stock broker/commodity broker/trading member, authorised person (AP) and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	Given to the Client with Welcome Kit
Risk Disclosure Document	Document detailing risks associated with dealing in the securities/commodities market	
Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	
Policies and Procedure	Document describing significant policies and procedure of the stock/commodity broker	
Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock/commodity exchange(s)	14
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Voluntary Documents as provided by the stock broker

Name of the Documents	Brief Significance of the Documents	Page Number
Running Account Authorisation	Helps the client to enjoy exposures linked to the credit in the trading account	15
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For Registration and Verification of Mobile Number and E-mail Address	For Registration and Verification of Mobile No. and E-mail Address	17
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INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 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.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

- PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA) :- List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account Power of Attorney given by FII/sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse shall be acceptable, subject to the submission of proof of relationship alongwith the same.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.

- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- 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. In case of Non Individuals additional documents to be obtained from non-individuals over & above the POI & POA, as mentioned below :

Types of entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including 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 submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> PAN of HUF. Deed of declaration of HUF/ List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/ Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST (for filling additional information related to trading account)

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

<ul style="list-style-type: none"> Copy of ITR Acknowledgement Copy of Annual Accounts In case of salary income - Salary Slip, Copy of Form 16 	<ul style="list-style-type: none"> Net Worth Certificate Copy of Demat account holding statement. Bank account statement for last 6 months 	<ul style="list-style-type: none"> Any other relevant documents substantiating ownership of assets. Self declaration with relevant supporting documents.
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- 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.

Important Instructions:

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☒ **1. PERSONAL DETAILS** (Please refer instruction **A** at the end)

☐ **2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction **B** at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*	<input type="text"/>	<input type="text"/>
Tax Identification Number or equivalent (If issued by jurisdiction)*	<input type="text"/>	<input type="text"/>
Place / City of Birth*	<input type="text"/>	ISO 3166 Country Code of Birth* <input type="text"/>

☒ **3. PROOF OF IDENTITY (Pol)*** (Please refer instruction C at the end)

(Certified copy of **any one** of the following Proof of Identity [Pol] needs to be submitted)

[illegible]

4. PROOF OF ADDRESS (PoA)*

☒ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction **D** at the end)

(Certified copy of **any one** of the following Proof of Address [PoA] needs to be submitted)

Address Type* ☐ Residential / Business ☒ Residential ☐ Business ☐ Registered Office ☐ Unspecified
 Proof of Address* ☐ Passport ☐ Driving Licence ☒ UID (Aadhaar)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others
☐ Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State Country

☒ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State Country

☒ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*
Line 2
Line 3 City / Town / Village*
State* ZIP / Post Code* ISO 3166 Country Code*

☒ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off) - Tel. (Res) - Mobile -
FAX - Email ID
Website

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name
(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [Pol] OF RELATED PERSON* (Please see instruction (H) at the end)

☐ A- Passport Number Passport Expiry Date
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number
☐ S- Simplified Measures Account - Document Type code Identification Number

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

- I hereby declare that the KYC details furnished by me are true and correct to the best of my knowledge and belief and I under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from KRA/CERSAI (CKYC) through SMS/Email on the above registered number/Email address.
- I am also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I hereby consent to sharing my 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.

 3

[Signature / Thumb Impression]

Date : -- Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☒ Certified Copies ☒ IPV Done

KYC / IN-PERSON VERIFICATION CARRIED OUT BY

Date -- Place
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **AG Shares and Securities Limited**
Code



TRADING ACCOUNT RELATED DETAILC

(For Individuals & Non-Individuals)

ANNEXURE-3
A. OTHER DETAILC

- Gross Annual Income Details : Income Range per annum : ☐ Upto Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac
 (please specify) ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 15 Lac ☐ Rs. 15 Lac to 1 Crore ☐ >1 Crore
 OR
 Net Worth : Amount Rs..... as on (date)/...../.....
 (Net worth should not be older than 1 year) (Compulsory for Non-Individuals)
- Occupation : ☐ Private Sector ☐ Public Sector ☐ Business ☐ Government Service ☐ Professional
 (please tick any one and give brief details) ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others_____Pl.Specify
- Nature of Business : ☐ Manufacturing ☐ Services ☐ Consultancy ☐ Others_____Pl.Specify
- Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
☒ Not a Politically Exposed Person (PEP) ☒ Not related to a Politically Exposed Person (PEP)
- Any other information :

B. BANK ACCOUNT(C) DETAILC







Bank Name	Branch Address	Bank Account No.	Account Type	MICR Number	IFSC Code
			<input checked="" type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others..... In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

C. DEPOSITORY ACCOUNT(C) DETAILC

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)							
AG Share & Securities	<input checked="" type="checkbox"/> NSDL		IN301006								
	<input type="checkbox"/> CDSL										
	<input type="checkbox"/> COMRIS										
	<input type="checkbox"/> NERL										

D. TRADING PREFERENCEC

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

Exchanges	NSE & BSE					MCX
All Segments	Cash/SLBM/Mutual Fund	Margin Trading Funding (MTF)	F&O	Currency	Debt	Commodity Derivatives
						

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

E. GST REGISTRATION DETAILS (AS APPLICABLE, STATEWISE)

Local GST Registration No.		Validity Date	
Name of the State			
Other GST Registration No.		Validity Date	
Name of the State			

F. 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 :

NO

G. DEALINGS THROUGH AUTHORISED PERSON (AP) AND OTHER STOCK BROKERS

If client is dealing through the Authorised Person, provide the following details:			
Authorised Person's Name			
SEBI No. (if any)			
Registered office address (if any)			
Ph.		Fax	
		Website	
Whether dealing with any other stock broker/AP (if case dealing with multiple stock brokers/AP, provide details of all)			
Name of stock broker			
Name of AP, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/AP			

H. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Physical Contact Notes	<input type="checkbox"/> Electronic Contract Note (ECN)
I/We wish to avail facility provided by the exchange	<input type="checkbox"/> SMS Alert	<input type="checkbox"/> E-mail Alert <input type="checkbox"/> Both
In case of ECN/E-mail alert pl. specify your Email id		
In case of SMS alert, please specify you Mobile No.		
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)		
Number of years of Investment/Trading Experience		
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:		
Any other information		

I. INTRODUCER DETAILS (optional)

Name of the introducer	
Status of the Introducer	<input type="checkbox"/> Sub Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Auth. Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others _____
Address and Phone No. of the Introducer	
Sign. of the Introducer	

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Document 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.

For AG Shares and Securities Limited_____
Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker

LETTER OF AUTHORITY

To,
AG Shares and Securities Limited

Date _____

Shop No.-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place,
Agra- 282002

Sub: Letter of Authority- NSE, BSE, MCX, (All Segments)

I/We am/are dealing in securities with you at NSE, BSE, MCX in Capital Market Segment, F&O Segments, Currency Derivatives Segment and/or Commodity Derivative Segment and in order to facilitate ease of operations.

Segment, Currency you ad under:

1. Delivery of order/ trade confirmation/ cancellation:
 - a. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
 - b. I/We hereby authorize you not to provide me / us order confirmation / Modification / Cancellation Slips and Trade Confirmation slips to avoid unnecessary paper work. I/we shall get the required details from contract notes and confirmation issued by you.
2. Electronic Mode of delivery:
 - a. I/We request that you may send/ Dispatch me contract notes other documents through E-mail on my designated E-mail address of..... I/We stress that I/we will not hold you responsible under any circumstances in the event of an E-mail which you send gets bounced due to any reason such as mail box being full, inactive account or due to any technical reason beyond your control.
 - b. Log Report: I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of E-mail to me and will not dispute the same.
 - c. Change in E-mail Id: I/We will inform you any change in my E-mail, if any, in future, by written request or through E-mail from my registered email address.
3. Fines & Penalties:

All fines/penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my trading account.
4. Charges & Balance Maintenance:

I/We have a Trading as well as depository relationship with AG Shares and Securities Limited Please the charges relevant with depository services and courier charges for sending additional physical contract notes & other documents from my/our trading account, as & when applicable. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

I/We am/are aware that I/We may not opt for any of the above authorisation by striking off the same. Further, I/We am /are aware that above authorisation is voluntary on my/our part and that I/We can revoke this authorisation at any point of time by giving you a notice in writing.

* Strike off the clauses not relevant to you.

Thanking you,

Yours faithfully,

 13 _____
Client Signature

Client Name : _____


Client Code : _____

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]


TARIFF SHEET

Client Code : _____ Client Name : _____

CAPITAL MARKET SEGMENT / SLBM

	NSE / BSE 	
	in %age terms	Minimum ` (per share)
Intraday	0.02%	0.02%
Delivery	0.2%	0.2%
Trade to Trade	0.2%	0.2%

FUTURES & OPTIONS SEGMENT

	FUTURES 		OPTIONS
	in %age terms	Minimum ` (per lot)	` Per Lot
NSE	0.02%	0.02%	0.2%
BSE	0.02%	0.02%	0.2%

CURRENCY DERIVATIVES

	in %age terms	Minimum ` (per lot)	` Per Lot
NSE	0.02%	0.02%	0.2%
BSE	0.02%	0.02%	0.2%

COMMODITY SEGMENT

	in %age terms	Minimum ` (per lot)	` Per Lot
MCX	0.02%	0.02%	0.2%

* Transaction Charges, Service Tax/GST, STT, Stamp Duty, SEBI Fee, Other Govt. Levies are extra. One Time

Account Opening Charges (Rs.).....

Note : Dispatch of Contract Note : Through Ordinary Post Free. Through Courier Rs. 50/- In case of previous years duplicate printout Rs. 100/- per statement.

 _____

CLEARING MEMBER DETAILS

NSE Equity Derivatives, NSE Currency Derivatives & MCX Commodity Derivative Markets

Globe Derivatives and Securities Limited - SEBI Regn. No.: INZ000312637

Regd. Office: 609, Ansal Bhawan, 16, K. G. Marg, Connaught Place, New Delhi-110 001

RUNNING ACCOUNT AUTHORISATION

To,

AG Shares and Securities Limited

Shop No.:-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place,
Agra- 282002

Date _____

Sub : Running Account Authorisation

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

1. I/We request you to maintain running balance in my/our account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to settle my/our fund and securities account except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt atleast
 - ☐ Once in every calander quarter or
 - ☐ Once in a calander month.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to need future margin /settlement obligations computed in the manner as prescribed by SEBI/Exchange from time to time.
4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds / securities or statement of account or statement related to it, as the case may be at your registered office.

The running account authorisation provided by me/us shall continue and remain valid until it is revoked by me/us anytime in writing.

Thanking you

Yours faithfully,

 11

Client Signature

ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (NSE, BSE, MCX)

To,
AG Shares and Securities Limited

Shop No.:-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place,
Agra- 282002

Date _____

Dear Sir,

I/We _____ with member M/S. AG Shares and Securities Limited of NSE, BSE, MCX
Exchanges undertakes as follows:

- I/We am/are aware that the member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself want the same in the electronic form.
- I/We am/are aware that the member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operation.
- My/our email id is* _____.
This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.
- I/We am/are aware that this authorisation can be revoked any time by giving a notice in writing.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us. I/We am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

*(The email id must be written in own handwriting of the client)

Client Name: _____

Unique Client Code : _____

PAN: _____

Address : _____

 12

Client Signature

Date : _____ Place: _____

Verification of the client signature done by,

Name of the designated officer of the _____

Signature _____

FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND E-MAIL ADDRESS

To,

Date _____

The Compliance Officer

AG Shares and Securities Limited

Shop No.-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place,
Agra- 282002

Member Id's :

Member Id (Exchange)

I/We am/are that NSE, BSE, MCX provide SMS/email alerts to the constituents(clients) of its member for trades executed on its platform.I/We hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts

✓ I/We want to receive transaction alerts in SMS as well as email from Exchanges.

- I/We want to receive transaction alerts only in SMS from Exchanges.
- I/We want to receive transaction alerts only in Email from Exchanges.
- I/We do not want to receive any transaction alerts from Exchanges, specify reason

.....
The alerts should be sent on :

Mobile number (enter 10 digit mobile no.)

--	--	--	--	--	--	--	--	--	--

E-mail Id.....

I/We agree to the terms and conditions specified by the Exchange in its circular no. SEBI/4/2012/C/13 dated 02/02/2012 as modified from time to time. I/We am/are aware that the receipt of SMS/E-mail alerts on the above mobile number and/or email address can be stopped only on my/our written request.

 14

Client Signature

REQUEST FOR TRADING IN ALL STOCK/COMMODITY CONTRACTS OF NSE, BSE, MCX ..

To,

AG Shares and Securities Limited

Date _____

Shop No.: -1, 1st Floor, 20/4, Maruti Tower, Sanjay Place,
Agra- 282002

Dear Sir,

Subject: My/Our request for trading in all contract i.e. (future & option) in all segments Member of NSE, BSE, MCX acknowledge as follows: as your client.

I/We, the undersigned, have taken cognizance of relevant circulars issued by SEBI exchanges on the guidelines for calculation of net open positions permitted in any commodity/stock and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits as may be prescribed from time to time by NSE, BSE, MCX and such position limits will be calculated in accordance with the contents of above stated circular of NSE, BSE, MCX as modified from time to time.

I/We undertake to inform you and keep you informed if any of my/our partners/directors/karta/trustee or any of the partnership firms/companies/HUF's/Trusts in which I/We or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity/stock derivative on <broker Segment> through you or through any other member(s) of NSE, BSE, MCX to enable you to restrict limit as prescribed by the above referred circular of NSE, BSE, MCX as modified from time to time

I/We confirm that you have agreed to enter orders in commodity/stock derivatives for me/us as your clients on NSE, BSE, MCX only on the basis of our above assurances and undertaking.

I/We also confirm that my/our account in your company may be debited with the amount of penalty imposed by NSE, BSE, MCX for violating of norms of open position limits when ever any consequences arises.

I/We undertake to inform you and keep you

 15 _____
Client Signature

Client Name : _____

Client Code : _____



FATCA & CRS Declaration - Individual

PAN Trading Code DP Code

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

Net Worth **Amount Rs.**..... Net Worth as on
(Net worth should not be older than 1 year)

Occupational ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
Detail ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☒ No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform AG Shares and Securities Limited for any modification to this information promptly

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Sign here :

Date :

Place :

Please submit the form fully filled, signed, for all the holders, separately and submit at your nearest AG Shares and Securities Limited branch or you can dispatch the hard copy to-

• For Detail Term & Conditions, Please visit <https://www.agssl.in>

This Page is left blank intentionally

NSDL

Application No. _____

To be filled by Branch / RM / Client

Whom to contact in case of any Discrepancy in AOF :	Payment Details :
Contact Person Name :	Cheque No.:
Contact No. :	Cheque Date :
Group Code :	Cheque Amount :
Scheme Code :	Bank Details :
Fetch Details : <input type="checkbox"/> CVL <input type="checkbox"/> NDML <input type="checkbox"/> DOTX <input type="checkbox"/> CAMS <input type="checkbox"/> Others _____	Date : Sign :

AG Shares and Securities Limited

Registered Office:
Shop No.:-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002
Tel: +0562-4028928 website: www.agssl.com

DP ID : IN301006

APPLICATION FORM FOR OPENING A DEMAT ACCOUNT

☐ INDIVIDUAL ☐ CORPORATE ☐ NRI ☐ FOREIGN NATIONAL

Internal Ref. No. _____ BO Id _____

Holder's Name _____

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 2 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- 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. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest share holding pattern including 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 submitted every year) Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly Copies of the Memorandum and Articles of Association and certificate of incorporation Copy of the Board Resolution for investment in securities market Authorized signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered partnership firms only) Copy of partnership deed Authorized signatories list with specimen signatures Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered trust only). Copy of Trust deed List of trustees certified by managing trustees/CA Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> PAN of HUF Deed of declaration of HUF/List of coparceners Bank pass-book/bank statement in the name of HUF Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act List of Managing Committee members Committee resolution for persons authorised to act as authorised signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Please Submit the KYC Documents on A4 Size Paper Only.

FORM 9
ACCOUNT OPENING FORM
(FOR INDIVIDUALS)

A.G.SHARES & SECURITIES LTD.(DP ID: IN301006) Block No.20/4, 1st Floor, Maruti Tower, Sanjay Place Agra-282002 Ph. No. 0562-4028900 E-Mail – info@agssl.in					Client –ID (To be filled by Participant)															
I/We request you to open a depository account in my/our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>										Date		D	D	M	M	Y	Y	Y	Y	
A	Details of Account holder(s):																			
	Account holder(s)		Sole/ First Holder						Second Holder						Third Holder					
	Name																			
	PAN																			
	Occupation <i>(please tick any one and give brief details)</i>		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist							
			<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired							
			<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife		<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife		<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife							
			<input type="checkbox"/> Business		<input type="checkbox"/> Student		<input type="checkbox"/> Business		<input type="checkbox"/> Student		<input type="checkbox"/> Business		<input type="checkbox"/> Student							
			<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify; _____)		<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify; _____)		<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify; _____)							
	Brief details:																			
B	For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:																			
	a) Name								b) PAN											
C	Type of account																			
	<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Margin						<input type="checkbox"/> NRI-Repatriable <input type="checkbox"/> Foreign National <input type="checkbox"/> Others (Please specify) _____						<input type="checkbox"/> NRI-Non Repatriable <input type="checkbox"/> Promoter							
D	Gross Annual Income Details																			
	Income Range per annum (please tick any one)																			
	<input type="checkbox"/> Below 1 lac						<input type="checkbox"/> 1- 5 lac						<input type="checkbox"/> 5- 10 lac							
<input type="checkbox"/> 10- 25 lac						<input type="checkbox"/> More than 25 lac														
E	In case of NRIs/ Foreign Nationals																			
	RBI Approval Reference Number																			
	RBI Approval date										D	D	M	M	Y	Y	Y	Y		
F	Bank details																			
	1 Bank account type <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____																			
	2 Bank Account Number																			
	3 Bank Name																			

	4	Branch Address												
			City/town/village				PIN Code							
			State				Country							
	5	MICR Code												
	6	IFSC												
G	Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> NONE													
H	Standing Instructions													
	1	I/We authorise you to receive credits automatically into my/our account.										<input type="checkbox"/> Yes		
												<input type="checkbox"/> No		
	2	Account to be operated through DDPI										<input type="checkbox"/> Yes		
												<input type="checkbox"/> No		
	3	SMS Alert facility: [Mandatory if you are giving DDPI. Ensure that the mobile number is provided in the KYC Application Form]												
		Sr. No.	Holder							Yes	No			
		1	Sole/First Holder							<input type="checkbox"/>	<input type="checkbox"/>			
		2	Second Holder							<input type="checkbox"/>	<input type="checkbox"/>			
		3	Third Holder							<input type="checkbox"/>	<input type="checkbox"/>			
	4	Mode of receiving Statement of Account [Tick any one]	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].											
	5	For Joint accounts, communication to be sent to (See Note 5)	<input type="checkbox"/> First holder <input type="checkbox"/> All joint account holders											
I)	Guardian Details (where sole holder is a minor):													
	[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]													
	Guardian Name													
	PAN													
	Relationship of guardian with minor													
J	Nomination Option													
	<input type="checkbox"/> I/We wish to make a nomination. [Details are provided at FORM 10]							<input type="checkbox"/> I/We do not wish to make a nomination.						
K	Mode of Operations for Joint Accounts													
	<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holder or survivor(s)													

Annexure - A

(SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650, dated January 10, 2025)

Nomination Form for Demat Accounts and Mutual Fund (MF) Folios A.G. Shares and Securities Ltd (DP ID: IN301006)

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *								
Nomination Details								
	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								

Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC / DP as follows; (please tick, as appropriate)

- ☐ Name of nominee(s) ☐ Nomination: Yes / No

2) I hereby authorize _____(nominee number __) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account / folio or Rs. _____. **(Optional)**
(strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

4) Signature(s) – As per the mode of holding in demat account(s) / MF folio(s)

Name(s) of holder(s)	Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable)*
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in

case of Demat account.

- You have the option to designate any one of your nominees to operate your account / folio, in case of your physical incapacitation, at any point of time and not just during opening of account / folio. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
 - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
 - 'First holder' Folios / Accounts - only First holder can sign
 - 'Jointly' Folios / Accounts - all holders have to sign

Transmission aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

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

Beneficiary Owner Information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

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

Statement of account

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

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has

given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

Additional Rights And Obligations

32. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

SIGNATURES

(4) 

First Holder Signature



Second Holder Signature



Third Holder Signature

FORMAT OF REQUEST (DP-EMUL)

To,
AG Shares and Securities Limited

Date: _____

Shop No.: -1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002

Re: DPID: IN301006, BO/CLIENT ID : _____

Dear Sir,

I/We hereby declare that the aforesaid mobile number or E-mail ID belongs to me or my family (**spouse, dependent children and dependent parents**)

Contact Mode	Mention the Mobile / Email ID	Mobile / Email ID Registered in the Name (Please tick (✓) whichever applicable)			
(Please mention Email If in CAPITAL LETTERS only)		Self	Spouse	Dependent Child	Dependent Parent
Mobile	<input checked="" type="checkbox"/> 1st Holder		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> 2nd Holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> 3rd Holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Email ID	<input checked="" type="checkbox"/> 1st Holder		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> 2nd Holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> 3rd Holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Name of 1st Account Holder : _____

Name of 2nd Account Holder : _____

Name of 3rd Account Holder : _____

Signatures (7)  _____  _____  _____
Sole/First Holder Signature Second Holder Signature Third Holder Signature

DECLARATION BY CLIENT

I/We the Sole Holder/ Joint Holder in the demat account number _____ hereby declare that :

<input checked="" type="checkbox"/> I/We wish to Open / Convert this demat account under BSDA Category. (Subject to Terms and Condition related to BSDA)
<input type="checkbox"/> I/We do not wish to Open/Convert this demat account under BSDA Category. Open / Convert this account as under : <input type="checkbox"/> Normal AMC <input type="checkbox"/> Lifetime Maintenance

I/We acknowledge the receipt of copy of DP Tariff. The terms and conditions related to the DP Tariff in force, pertaining to the demat account have been read and understood by me/us. I/we agree to abide by and to be bound by the terms and conditions.

Signatures (8)  _____  _____  _____
Sole/First Holder Signature Second Holder Signature Third Holder Signature













Demat Debit and Pledge Instruction ("DDPI")

I/We agree to the terms and purpose of this DDPI document between Mr./Ms. _____ (First Holder) _____ (Second holder) and _____ (Third holder); an individual/body of individuals/a sole proprietary concern/a partnership firm/a body corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act 2013, or any relevant Act or unregistered in nature; and A.G. Shares and Securities Limited (hereinafter referred to as "AGSSL"), a Company within the meaning of Companies Act, 2013 with its registered office at Block No.20/4, 1st Floor, Maruti Tower, Sanjay Place, Agra – 282002 ;

Whereas:

(a) I/We have established a business relationship with AGSSL to avail services w.r.t trading, investing & other services offered by AGSSL, having a **DP ID** IN301006, & **Client ID** _____ **DP NAME** AG Shares & Securities Limited

(b) This DDPI document shall be in line with SEBI Circular no. SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022, as may be updated from time to time, & I agree to the below two points;

S.No	Purpose	Signature of Client		
		First Holder	Second Holder	Third Holder
1.	I/We agree and permit AGSSL to transfer any securities held in my beneficial owner account towards any Exchange (any SEBI Recognised Exchanges where AGSSL is a member) related deliveries / settlement obligations arising out of trades executed by me/us on the Exchanges through AGSSL;			
2.	I/We agree and confirm to allow pledging / re-pledging of securities in favour of AGSSL and the clearing member (CM) with whom AGSSL is a member of, for the purpose of meeting my/our margin requirements in connection with the trades executed by me/us on the Exchanges.			
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4.	Tendering shares in open offers through Stock Exchange platforms			

CM BP ID	CM Name
IN556242 (NSE), IN665971 (BSE)	A.G. SHARES & SECURITIES LTD.

DP Name	DP ID	Depository	Beneficiary ID
AG SHARES & SECURITIES LTD.	IN301006	NSDL	10141208 (TM/CM –Client Securities Margin Pledge Account) 10004843 (NSE POOL) , 10123333 (BSE POOL) , 10145898 (CUSPA)

Date : 10/02/2025

OPTION FORM FOR ISSUE OF DIS BOOKLET

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

DP ID	I	N	3	0	1	0	0	6	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,
AG Shares and Securities Limited
 Shop No.: -1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002

Dear Sir / Madam,




I / We hereby state that :

[Select one of the options given below]

☐ **OPTION 1 :**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us on opening my / our CDSL account through I / We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____ (name of attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully




	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	(13) 		

OR

☒ **OPTION 2 :**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____ (name of attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later day.

Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	(14) 		

----- (Please Tear Here) -----

Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID									Client ID							
Name of the First/Sole Holder																
Name of the Second Joint Holder																
Name of the Third Joint Holder																

Depository Participant Seal and Signature



DP - NSDL • DP ID - IN301006 • SEBI Regn. No.: IN-DP-493-2020

Registered Office Address: Shop No.: -1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002 |

Website: www.agssl.in

Corporate Address: Block No. 20/4, 1st Floor Maruti Tower Sanjay Place, Agra- 282002

Phone: 0562-4028900,4028923 E-mail Id: info@agssl.in

Service	New Plan C (For New Account Only)	BSDA	
	Charges	Charges	
Account Opening Charges	NIL	NIL	
Account Maintenance (AMC)	75/- Quarterly	Up to 4 Lac Holding	NIL
		More Than 4 lacs to 10 Lac	100/-
		More Than 10 Lac	Not A BSDA Regular AMC Levied
Dematerialization Charges	50 /- Per DRF (Up to 10 Certificates) + 50/- Courier Charges	50 /- Per DRF (Up to 10 Certificates) + 50/- Courier Charges	
Market Transaction/Off Market Transaction (Per Transaction)			
Credit	NIL	NIL	
Debit	Min 15 /- Or 0.03% (which Ever Is Higher)	Min 15 /- Or 0.03% (which Ever Is Higher)	
Custody Charges	NIL	NIL	
Instruction Booklet (Reissue)	30/- Per Book	30/- Per Book	
Rematerialization	200/- for 100 Securities or part thereof whichever higher	200/- for 100 Securities or part thereof whichever higher	
Annual Maintenance Charges (IDeAS/Speed-e)	25/-	25/-	
Pledge / Margin Pledge	15 Per ISIN	15 Per ISIN	

Notes: - D-mat request Form would be accepted against payment in Advanced

- Any additional statement would be charged @` 25/- up to Ten (10) pages and thereafter it would be charged extra @` 5/- Per Page.
- Any other Services provided by DP which is not mentioned in above chart, would be charged extra.
- axes and other government levies extra as applicable from time to time.
- Trading Account should also be opened in our Branch/Franchisee.
- The Outstanding dues will attract interest @ 24 p.a. (compounded)
- AGSSL reserves the right to revise the tariff by providing 30 days' notice & this will be Binding on ALL

Client Signature

Sole/First Holder Name & Signature

Second Holder Name & Signature

Third Holder Name & Signature



Annexure I

[For New Accounts]

Declaration for Basic Services Demat Account (BSDA)

Date:

--	--	--	--	--	--	--	--

To,

A.G.SHARES & SECURITIES LIMITED

DP ID-IN301006

Shop 1 Block No.20/4 1st Floor, Maruti Tower,

Sanjay Place, AGRA- 282002

Ph.:0562-4028900, 4028925

E-mail Id: info@agssl.in

With reference to my / our application for opening a depository account, I/ We request you to open my / our depository account as per the following details:

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.

I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.

1 _____ 2 _____ 3 _____
Signature(s) of Account Holder(s)

Brokerage Module-II (Rs. 888 Plan)

Client Details:

- **Plan Name:** Rs. 888 Plan (for online clients only)
- **Plan Validity:** Monthly
- **Service Type:** Online clients

Brokerage Breakdown:

Service	Per Month Cost (INR)
Equity Delivery & Intraday	Rs. 888*
Equity Future & Option	Rs. 888*
Currency Future & Option	Rs. 888*
MCX Future & Option	Rs. 888*


Notes:

- This plan applies only for **online clients**.
- The cost is charged monthly.
- Each service (Equity Delivery, Intraday, Futures & Options) will incur the same cost of **Rs. 888/- per month**.
- ***₹18 Extra Per Trade:** If the trade is executed by a dealer on your behalf.
- ***₹18 Extra Per Trade:** If any position is squared off by the Risk Management System (RMS).
- ***₹0.03 Per Executed Order:** A nominal fee will be charged per order after the first trade of the month

Payment Terms:

- The client must pay the monthly amount upfront for the services availed.

 _____

<p>Know Your Client (KYC)</p> <p>Application Form (For Individuals Only)</p> <p>Please fill the form in ENGLISH and in BLOCK letters</p> <p>Fields marked * are mandatory</p> <p>Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also</p>	 <p>CDSL VENTURES LIMITEDExploring New Horizons</p> <div style="border: 1px solid #ccc; width: 100px; height: 70px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> Intermediary Logo </div> <p>Application Number: _____</p> <p>Application Type: Without Supporting KYC Modification</p>				
KYC Mode*: Please Tick (✓) <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <input type="checkbox"/> Normal <input type="checkbox"/> EKYC OTP <input type="checkbox"/> EKYC Biometric <input type="checkbox"/> Online KYC <input type="checkbox"/> Offline EKYC <input type="checkbox"/> Digilocker </div>					
1. Identity Details (please refer guidelines overleaf)					
<p>PAN* _____</p> <p>Name (same as ID proof) _____</p> <p>Fathers/Spouse's Name _____</p> <p>Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married</p>					
2. Contact Details (in CAPITAL)					
<p>Email ID _____</p> <p>Mobile No. _____</p> <p>Tel (off) _____ Tel (Res) _____</p>					
3. Applicant Declaration					
<p>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 under-take 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.</p> <p>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.</p> <p>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.</p> <p>DATE: _____ (DD-MM-YYYY)</p> <p>PLACE: _____</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%; padding: 5px;">Applicant e-SIGN</th> <th style="width: 50%; padding: 5px;">Applicant Wet Signature</th> </tr> <tr> <td style="height: 150px;"></td> <td style="height: 150px;"></td> </tr> </table>	Applicant e-SIGN	Applicant Wet Signature		
Applicant e-SIGN	Applicant Wet Signature				
4. For Office Use Only					
Intermediary Details (Name and Stamp)*					
Institution Name and Stamp					



FATCA & CRS Declaration - Individual

PAN

Trading Code

Name

Place of Birth

Country of Birth

Nationality

Annual Income

☐ BELOW 1 LAKH ☐ RS 1 LAKH to RS 5 LAKH ☐ RS 5 LAKH to RS 10 LAKH ☐ RS 10 LAKH TO RS 25 LAKH ☐ RS 25 LAKH TO RS 1 CRORE ☐ RS 1 CRORE AND ABOVE
☐ Others please specify :

Net Worth **Amount**

Net Worth as on

(Net worth should not be older than 1 year)

Occupational Detail ☐ PRIVATE SECTOR ☐ PUBLIC SECTOR ☐ GOVERNMENT SECTOR ☐ PROFESSIONAL
☐ SELF EMPLOYED ☐ AGRICULTURIST ☐ RETIRED ☐ HOUSE WIFE ☐ BUSINESS ☐ STUDENT ☐ Others please specify

Politically Exposed Person (PEP) ☐

Not Politically Exposed Person (NPEP) ☒

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1			
2			
3			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform AG Shares and Securities Limited for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on

Sign here :

Date :

Place :

For Investor convenience, AG Shares and Securities Limited collecting this mandatory information for updating across all Group Companies of AG Shares and Securities Limited whether you are already an investor or would become an investor in future

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest AG Shares and Securities Limited branch or you can dispatch the hard copy to

AG Shares and Securities Limited

Shop No.-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002

Tel: +0562-4028928

• For Detail Terms & Conditions please visit website: www.agssl.in

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CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE : ACCOUNT OPENING DATE : TM DP	BRANCH CODE : GROUP CODE :	CLIENT CODE TM : DP :
---	-----------------------------------	-------------------------------------

1.	CHECKING DETAILS	YES	REMARKS
a)	Name as it appears on the ID & Address Proof (in capital letter)		
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) <input type="checkbox"/>		
c)	Signature Checked and Verified.		
d)	Photograph (duly signed) <input type="checkbox"/>		
e)	A copy of PAN Card (Self Attested) <input type="checkbox"/>		
f)	Address Proof (Self Attested) <input type="checkbox"/>		
g)	Bank Proof containing Client Name (Self Attested) <input type="checkbox"/>		
h)	Demat Account Proof (Self Attested) <input type="checkbox"/>		
i)	Stamp Paper : NSE <input type="checkbox"/> BSE <input type="checkbox"/> MSEI <input type="checkbox"/> MCX <input type="checkbox"/> NCDEX <input type="checkbox"/>		
j)	Brokerage : Intra Day _____ Min _____ Delivery _____ Min _____ F & O Intra Day _____ EOD _____ Option _____		
k)	Exchange given : <input type="checkbox"/> NSE CM <input type="checkbox"/> NSE F&O <input type="checkbox"/> NSE CDS <input type="checkbox"/> NSE Currency <input type="checkbox"/> BSE CM <input type="checkbox"/> BSE F&O <input type="checkbox"/> BSE CDS <input type="checkbox"/> BSE Currency <input type="checkbox"/> MCX		
2.	Franchisee and Client to be informed if any of the above detail is missing or invalid by _____ Date _____ Time _____		
3.	Details Punched in Computer by TM _____ DP _____		
4.	Cross Checking done by TM _____ DP _____		
5.	UCC UPLOADED : <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> NSE <input type="checkbox"/> BSE <input type="checkbox"/> MSEI <input type="checkbox"/> MCX <input type="checkbox"/> NCDEX <input type="checkbox"/> ENTERED IN FORM DATA </div>		
6.	BACK OFFICE WEB LOGIN User Name ID _____ Password _____		
7.	DP WEB LOGIN User Name ID _____ Password _____		
8.	Form sent to Surveillance by _____ Date : _____ Time : _____		
9.	Client ID Mapping done by _____ Branch ID _____ User ID: _____ Dealer ID : _____		
10.	INTERNET TRADING <div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> Odin Diet <input type="checkbox"/> I-Net </div> User ID _____ Password _____		
11.	Form sent to DP by _____ Date : _____ Time : _____		
12.	Client Instruction Book issued by		
13.	Client Account Status Report issued by		
14.	Form Returned to Compliance by _____ Date : _____ Time : _____		
15.	Kit Electronic mailed on _____ (Date)		
16.	Kit Physical Dispatched on _____ (Date)		

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.

Client Signature

Voluntary freezing/blocking of Trading Accounts by Clients

As per SEBI guidelines, a facility for our clients to voluntarily freeze/block their online trading account access. In case they want to block access to a website, they can reach out to us via a dedicated email address, phone number. The dedicated email address is stoptrade@agssl.in and the phone number is +91 -7417614125 For more details, kindly read the SEBI and Exchange Circular ref. No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024.

Timelines for Freezing/Blocking the Online Access:

Scenario	Timelines for Issuing Acknowledgement and Freezing/Blocking
Request received during trading hours and within 15 minutes before the start of trading	Within 15 minutes
Request received after trading hours and 15 minutes before the start of the next trading session	Before the start of the next trading session

Note: By opting to block/freeze the account, you are only blocking online access to your trading account. There will be no restrictions on the risk management system.

Client Signature

1. Refusal of orders For Penny Stock(s):

AGSSL shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stock, illiquid stocks having low liquidity, illiquid “options” , far month “option” writing of “options”, stocks in GSM/Z, T, TS, S, B, BE, IL, BT, EQ Category and any other contracts which as per the perception of stock Broker are extremely volatile or subject to market manipulation.

Stock broker is advising to the clients not to deal in penny securities and if client deals with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin deposit. The stock broker shall have authority from time to time limit (quantity/ value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

2. Setting Up Client's Exposure Limits:

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/ market levellimits in security specific / volume specific exposures etc.).

It may be noted that in cash segment also upfront margin collection and reporting is compulsory. In absence thereof no sauda can be done. Similarly now margin may have to be reported on intra day position. Therefore exposure will not be allowed beyond one time unless expressly agreed to between the parties subject to regulations of SEBI/ exchanges

In case margin is kept in securities, Broker would value these securities after applying such haircut as it deems appropriate which would not be less than 20% in approved securities. Similarly for providing exposure to client, Broker can pledge such securities in favor of clearing member/ Clearing Corporation or Bank.

The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible

for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. Sometimes client's sauda may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode.

The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client appx. 15 minutes before the scheduled closing. This is subject to Peak Margin Collection and Reporting Mechanism.

3. Applicable Brokerage Rate:

- a. Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client and/or subsequently through a written agreement between client and **AGSSL** . The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange by-laws.

The slab rates of brokerage fixed by **AGSSL** are function of the quality and cost of services provided to the client and the volume and revenue expected from an account. It shall be reviewed by the **AGSSL** from time to time and may be increased with prospective effect at a notice of 15 Days sent to the E-mail address or postal address of the client registered with **AGSSL**.

The brokerage shall however be exclusive of the following:

- DP Annual maintenance charges
- DP transaction charges / Pledge/Re-pledge/ Demat/Re-mat Charges
- DP Inter settlement charges
- Account Opening Charges
- Delayed payment charges
- Penalties levied by Exchange
- Research advisory charges
- Courier charges
- Bank charges towards the cheques received unpaid
- DP, Bank and other processing charges towards periodic settlement of Funds/Securities on periodic basis.
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.
- SEBI/Exchange/Clearing Member Turnover charges
- Other out of pocket and services related charges

- b. Advance Brokerage Model - The company may covered with fixed monthly advance brokerage module depending upon various volume level. Such advance brokerage is not refundable if client has done any transaction during that

month. However, if there are no transaction, **AGSSL** may allow one rollover to next month only.

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non- delivery of shares, increase open position or on any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

However, broker will not pay any interest on unutilized margin or balance in trading Account of the clients in case of repeated violation by client, additional penalty (as disclosed on website) will be levied.

All fines / penalties and charges levied upon the Client due to its acts / deeds or transactions will be recovered by Exchange or Clearing Corporation, the Stock Broker directly from the client's account, GST or service charges will be extra.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation)

AGSSL shall have right to sell client's securities, both unpaid as well as collaterals deposited towards margins, or close out clients open positions, without giving notice to the client where there is a delay/failure of the client to meet the pay-in obligations and /or there is a failure of the client to bring additional margin to cover the increase in risk in the dynamic market conditions on same day.

a. Unpaid Securities in Capital Market:-

- i. In case any shares/securities purchased by the client remained unpaid on the date of Pay-In these will be transferred compulsorily to Client Unpaid Securities **Pledge** Account (CUSPA).

In case unpaid securities / remain unpaid for five days from pay in date. These will be liquidated compulsorily to clear his debit balance/incidental charges, as per the policy adopted by the broker from time to time.

- ii. **AGSSL** may follow the LIFO or average method of liquidation of securities but in exceptional circumstances **AGSSL** may use its own discretion.

b. The Margin Shortfall in F&O:-

- i. Positions of the client may be closed out to the extent of margin shortfall on the T+1 basis.
- ii. While computing margin shortfall, Value of unapproved securities shall not be considered.
- iii. As per the current Exchange requirements, the member Broker is required to maintain a 50:50 ratio between cash and collaterals margin deposited with the Exchange. **AGSSL** shall therefore have the prerogative to insist for at least 50% of margin in cash and may not consider the value of securities over and above the cash component for the purpose of calculating margins shortfall and close out the F&O Position wherever it finds the deviation. However, sales made in capital market segment shall not be considered while closing F&O Positions on T+0 basis due to margin shortfall.

c. Intra-day Positions:-

AGSSL shall have the right to close out any intra-day Positions taken by the client after a defined "Cut-off" time (Presently 20 minutes before close of market).

d. General

- i. While selling the securities/ closing the clients positions, **AGSSL** may take into account the sales made by the client, Positions closed by the client or collections received from the client till cut-off time (Presently 2.00 pm).
- ii. While selling the Securities/ Closing the clients positions, **AGSSL** may not take into consideration cheques/Bank Drafts/ Pay orders deposited by the client with **AGSSL** until clear proceeds of such instruments are received by **AGSSL** in its bank account. However payout made through NEFT /RTGS would be accounted for, If proper bank UTR and debit proof is furnished.
- iii. **AGSSL** shall have the right to sell client's securities or close out client's open positions but it shall not be under any obligations to undertake this exercise compulsorily. **AGSSL** shall therefore not be under any obligation to compensate or provide reasons of any delay or omission on its part to sell client's securities or close open positions of the client.
- iv. The client would make good the short fall, if any post liquidation, immediately. But refund such excess to clients, if so demanded by clients, by next working day.

6. Shortages in obligations arising out of internal netting of trades

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The securities delivered short are purchased from market in code of defaulting clients only on T+2 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes, levies and penalty) is debited to the short delivering seller client. However, if the buyer has already sold the shares in anticipation of his incoming delivery, purchase from open market will not be done. Rate at which his transactions are auctioned / closed out by Exchange including STT, Taxes, Penalty etc will be debited for his sale and credited for his purchase separately.
- b. If securities cannot be purchased from market due to any reason, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% and buyer will be given credit. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
- c. In case of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction

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

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances.

1. for non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations.
2. When the brokers exposure is more than 85% in any segment.
3. The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's cash margin is evaporated by 70% in any of exchanges,

AGSSL reserves the right to square off positions. Therefore, it has been expressly explained and understood by the client that his intraday /existing position/addition position can be closed square off 70% of the margin in cash is evaporated or mark to mark loss at any point of the time reached 70% of the cash deposit , notwithstanding any other clause in this clause.

4. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI. Therefore, it is expressly understood by the clients that squaring off / closing out the position of the clients in appropriate circumstances is a right but not an obligation of Broker. Similarly broker can rely upon clients (regular) as aware that he has transferred the funds. In all such cases where sauda could not be squared off or could not be squared off, loss which can be more than the margin deposit will be on account of client and would be payable by him.
5. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker, the client has committed a crime, fraud or has acted in contradiction of this agreement or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

8. Temporarily suspending or closing a client's account at the client's request

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him.

The stock broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

AGSSL may carry a periodic review of the client accounts and may suspend the accounts from Trading in the following circumstances:-

- Where the client is inactive for more than 6 months
- Physical contract notes are received back undelivered due to reasons like "no such person" , "addressee left", refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion.
- ECN failed (Bounced email) on more than 3 instances until client submits a valid explanation.
- Client can also send an email from designated mail id for

reactive request.

9. Deregistering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- iii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the security transactions;
- iv. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- v. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;
- vi. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.
- vii. If the client do not transact for a period exceeding 2 years, in such cases, fresh declaration/documents will be required and due diligence will be carried out before activating the Account.
- viii. If Net worth Certificate/ Balance sheet etc are not updated periodically.

10. INACTIVE CLIENT ACCOUNT

Any client who has not traded with A.G. Shares and Securities Ltd. for last 24 months across all exchanges or subject to such conditions as may be prescribed by SEBI/ exchange/A.G. Shares and Securities Ltd from time to time would be termed as Inactive Client.

The inactive account shall be flagged as “Inactive” and further trading by such clients shall be activated only after

undertaking due diligence (including In Person Verification) and obtaining updated information related to KYC from the client. The funds/securities of the inactive client shall be settled in the manner prescribed. In case of non-traceability of client, every effort shall be taken to trace the clients to settle their funds and securities. However, in case the clients cannot be traced inspite of all efforts taken, then the funds/securities of such clients shall be set aside in a separate client bank/client collateral demat account and an audit trail for funds/securities transferred from/to such bank/demat account shall be maintained. In case of receipt of any claims from such clients, the settlement of accounts shall be done immediately by making the payment/delivery to the respective client's.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc.; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

I further undertake to adhere to the procedures & code of ethics prescribed by SEBI / Exchanges in this regard. Broker shall not be responsible for any transactions entered by the client in their personal capacity with the employees of broker, if any.



Addendum to Master document dealing with policies and procedures pursuant to SBI Circular no. MIRSD/SB/Cir-9/2009 dated December 01/2009 forming part of Account Opening form

SBI vide circular no. SBI/HQ/MRD/DCA/CIR/ dated 01/12/2009 has put in place a frame work for "Segregation and Monitoring of Collateral at Client Level" which stipulates that Clients are required to maintain minimum Cash and Non Cash Collateral in the ratio 1:1 and if the client has given only securities or commodities as collateral or in case his cash collateral is less than 100% of his total collateral then the broker will have to allocate appropriate cash collateral out of its own funds to the client so that client can use the full value of his collateral.

In view of the above to avoid interest charges for use of AGSSL fund towards client's margin obligation under new regime it is requested that margins provided by clients should have at least 100% margin in the form of cash/cash equivalents or better utilization of their respective collaterals deposited with us in the form of securities or commodities. Interest charges at an appropriate rate **not exceeding 24%** shall be levied if funds are required to be deposited as AGSSL to meet the short fall in 100% ratio of Cash and Non Cash Collateral provided by the client.

Please also note that if cash/cash equivalent collateral is 100% or more of total collateral then no interest charges shall be applicable.

Place

Date

Signature of Client/All Authorized Signatories

Annexure

Investor Charter for Depositories and Depository Participants

1. Vision

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

2. Mission

- To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

3. Details of business transacted by the Depository and Depository Participant (DP)

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [*link to be provided by Depositories*]

4. Description of services provided by the Depository through Depository Participants (DP) to investors

(1) Basic Services

Sr. No.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion / Destatementization	5 days

Sr. No.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
4.	Re-conversion / Restatementisation of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	<p>For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T day for pay-in of securities.</p> <p>For T+0 day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T day.</p> <p>Note: 'T' refers 'Trade Day'</p>

(2) Depositories provide special services like pledge, hypothecation, internet based services etc. in addition to their core services and these include

Sr. No.	Type of Activity /Service	Brief about the Activity / Service
1.	Value Added Services	<p>Depositories also provide value added services such as</p> <ul style="list-style-type: none"> a. Basic Services Demat Account(BSDA) <i>[link to be provided by Depositories]¹</i> b. Transposition cum dematerialization <i>[link to be provided by Depositories]²</i> c. Linkages with Clearing System <i>[link to be provided by Depositories]³</i> d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly(if no transactions) .
3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:

Sr. No.	Type of Activity /Service	Brief about the Activity / Service
		<p>a. <u>E-account opening</u>: Details available on the link [<i>link to be provided by Depositories</i>]⁴</p> <p>b. <u>Online instructions for execution</u>: Details available on the link [<i>link to be provided by Depositories</i>]⁵</p> <p>c. <u>e-DIS / Demat Gateway</u>: Details available on the link [<i>link to be provided by Depositories</i>]⁶</p> <p>d. <u>e-CAS facility</u>: Details available on the link [<i>link to be provided by Depositories</i>]⁷</p> <p>e. <u>Miscellaneous services</u>: Details available on the link [<i>link to be provided by Depositories</i>]⁸</p>

5. Details of Grievance Redressal Mechanism

The Process of investor grievance redressal

1.	Investor Complaint/ Grievances	<p>Investor can lodge complaint/ grievance against the Depository/DP in the following ways:</p> <p>a. Electronic mode -</p> <p>(i) SCORES 2.0 (a web based centralized grievance redressal system of SEBI) [<i>link to be provided by Depositories</i>] <u>Two Level Review for complaint/grievance against DP:</u></p> <ul style="list-style-type: none"> - First review done by Designated Body - Second review done by SEBI <p>(ii) Respective Depository's web portal dedicated for the filing of complaint [<i>link to be provided by Depositories</i>]</p> <p>(iii) Emails to designated email IDs of Depository [<i>link to be provided by Depositories</i>]</p> <p>b. Offline mode [<i>details of link to the form to be provided by Depositories</i>]</p> <p>The complaints/ grievances lodged directly with the Depository shall be resolved within 21 days.</p>
2.	Online Dispute Resolution (ODR)	If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then

	platform for online Conciliation and Arbitration	the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. [SMARTODR link to be provided by Depositories]
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ul style="list-style-type: none"> ➤ Investor to approach Market Participant for redressal of complaint ➤ If investor is not satisfied with response of Market Participant, he/she can escalate the complaint on SEBI SCORES 2.0 portal. ➤ Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. ➤ Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days. ➤ If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation. ➤ During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator. ➤ If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. ➤ The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.

6. Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant

Sr. No.	Type of special circumstances	Timelines for the Activity/ Service
1.	<ul style="list-style-type: none"> ▪ Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges. 	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

Sr. No.	Type of special circumstances	Timelines for the Activity/ Service
	▪ Participant surrenders the participation by its own wish.	

7. Dos and Don'ts for Investors *[link to be provided by the Depositories]*

Sr. No.	Guidance
i.	Always deal with a SEBI registered Depository Participant for opening a demat account.
ii.	Read all the documents carefully before signing them.
iii.	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
iv.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
v.	<p>Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips.</p> <p>Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders.</p> <p>Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s).</p> <p>Do not leave your instruction slip book with anyone else.</p> <p>Do not sign blank DIS as it is equivalent to a bearer cheque.</p>
vi.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
vii.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
viii.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
ix.	Do not share password of your online trading and demat account with anyone.
x.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
xi.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
xii.	Demat is mandatory for any transfer of securities of Listed public limited companies.

Sr. No.	Guidance
xiii.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.sebi.gov.in
xiv.	Keep a record of documents signed, DIS issued and account statements received.
xv.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
xvi.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
xvii.	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
xviii.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
xix.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
xx.	Beware of assured/fixed returns.

8. Rights of investors [link to be provided by the Depositories]

- i. Receive a copy of KYC, copy of account opening documents.
- ii. No minimum balance is required to be maintained in a demat account.
- iii. No charges are payable for opening of demat accounts.
- iv. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
- v. You can open more than one demat account in the same name with single DP/ multiple DPs.
- vi. Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
- vii. Pledge and /or any other interest or encumbrance can be created on demat holdings.
- viii. Right to give standing instructions with regard to the crediting of securities in demat account.
- ix. Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
- x. In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.

- xi. Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
- xii. Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.
- xiii. Right to indemnification for any loss caused due to the negligence of the Depository or the participant.
- xiv. Right to opt out of the Depository system in respect of any security.

9. Responsibilities of Investors *[link to be provided by the Depositories]*

- i. Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- ii. Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- iii. Read all documents and conditions being agreed before signing the account opening form.
- iv. Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- v. Always mention the details like ISIN, number of securities accurately.
- vi. Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- vii. Regularly verify balances and demat statement and reconcile with trades / transactions.
- viii. Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- ix. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.

10. Code of Conduct for Depositories *[link to be provided by the Depositories]*
(Part D of Third Schedule of SEBI (D & P) regulations, 2018)

A Depository shall:

- (a) always abide by the provisions of the Act, Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
- (b) adopt appropriate due diligence measures.
- (c) take effective measures to ensure implementation of proper risk management framework and good governance practices.

- (d) take appropriate measures towards investor protection and education of investors.
- (e) treat all its applicants/members in a fair and transparent manner.
- (f) promptly inform the Board of violations of the provisions of the Act, the Depositories Act, 1996, rules, regulations, circulars, guidelines or any other directions by any of its issuer or issuer's agent.
- (g) take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of depository's systems and the securities market.
- (h) endeavor for introduction of best business practices amongst itself and its members.
- (i) act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.
- (j) not indulge in unfair competition, which is likely to harm the interests of any other Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
- (k) segregate roles and responsibilities of key management personnel within the depository including
 - a. Clearly mapping legal and regulatory duties to the concerned position
 - b. Defining delegation of powers to each position
 - c. Assigning regulatory, risk management and compliance aspects to business and support teams
- (l) be responsible for the acts or omissions of its employees in respect of the conduct of its business.
- (m) monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.

11. Code of Conduct for Participants *[link to be provided by the Depositories]*
(Part A of Third Schedule of SEBI (D & P) regulations, 2018)

1. A participant shall make all efforts to protect the interests of investors.
2. A participant shall always endeavour to—
 - (a) render the best possible advice to the clients having regard to the client's needs and the environments and his own professional skills;
 - (b) ensure that all professional dealings are effected in a prompt, effective and efficient manner;
 - (c) inquiries from investors are adequately dealt with;
 - (d) grievances of investors are redressed without any delay.
3. A participant shall maintain high standards of integrity in all its dealings with its clients and other intermediaries, in the conduct of its business.
4. A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialisation request form, rematerialisation

request form and execution of debit instruction slip and in all the other activities undertaken by him on behalf of the beneficial owners.

5. A participant shall endeavour to resolve all the complaints against it or in respect of the activities carried out by it as quickly as possible, and not later than one month of receipt.
6. A participant shall not increase charges/fees for the services rendered without proper advance notice to the beneficial owners.
7. A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.
8. A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capability to render certain services or about its achievements in regard to services rendered to other clients.
9. A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorisation of the clients or when it is required to disclose the information under the requirements of any Act, Rules or Regulations.
10. A participant shall co-operate with the Board as and when required.
11. A participant shall maintain the required level of knowledge and competency and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003.
12. A participant shall not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to the Board.
13. A participant shall not neglect or fail or refuse to submit to the Board or other agencies with which it is registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/requested from time to time.
14. A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or non-compliance by it, of any law, Rules, regulations, directions of the Board or of any other regulatory body.
15. A participant shall maintain proper inward system for all types of mail received in all forms.
16. A participant shall follow the maker—Checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorised transaction.
17. A participant shall take adequate and necessary steps to ensure that continuity in data and record keeping is maintained and that the data or records are not

lost or destroyed. It shall also ensure that for electronic records and data, up-to-date back up is always available with it.

18. A participant shall provide adequate freedom and powers to its compliance officer for the effective discharge of his duties.
19. A participant shall ensure that it has satisfactory internal control procedures in place as well as adequate financial and operational capabilities which can be reasonably expected to take care of any losses arising due to theft, fraud and other dishonest acts, professional misconduct or omissions.
20. A participant shall be responsible for the acts or omissions of its employees and agents in respect of the conduct of its business.
21. A participant shall ensure that the senior management, particularly decision makers have access to all relevant information about the business on a timely basis.
22. A participant shall ensure that good corporate policies and corporate governance are in place.

Investor Charter Stock Brokers
—**1. VISION**

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

2. MISSION

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.
- v) To ensure confidentiality of information shared by investors unless such information is required to be provided in furtherance of discharging legal obligations or investors have provided specific consent to share such information.

3. Services provided to Investors by stockbrokers include

- I. Execution of trades on behalf of investors.
- II. Issuance of Contract Notes.
- III. Issuance of intimations regarding margin due payments.
- IV. Facilitate execution of early pay-in obligation instructions.
- V. Periodic Settlement of client's funds.
- VI. Issuance of retention statement of funds at the time of settlement.
- VII. Risk management systems to mitigate operational and market risk.
- VIII. Facilitate client profile changes in the system as instructed by the client.
- IX. Information sharing with the client w.r.t. relevant Market Infrastructure Institutions (MII) circulars.
- X. Provide a copy of Rights & Obligations document to the client.
- XI. Communicating Most Important terms and Conditions (MITC) to the client.
- XII. Redressal of Investor's grievances.

4. Rights of Investors

- I. Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself (including website providing mandatory information).
- II. Receive complete information about the risks, obligations, and costs of any investment before investing.
- III. Receive a copy of all completed account forms and rights & obligation document.
- IV. Receive a copy of 'Most Important Terms & Conditions' (MITC).

- V. Receive account statements that are accurate and understandable.
- VI. Understand the terms and conditions of transactions you undertake.
- VII. Access your funds in a prescribed manner and receive information about any restrictions or limitations on access.
- VIII. Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties in form of tariff sheet.
- IX. Discuss your grievances with compliance officer / compliance team / dedicated grievance redressal team of the firm and receive prompt attention to and fair consideration of your concerns.
- X. Close your zero balance accounts online with minimal documentation
- XI. Get the copies of all policies (including Most Important Terms and Conditions) of the broker related to dealings of your account
- XII. Not be discriminated against in terms of services offered to equivalent clients
- XIII. Get only those advertisement materials from the broker which adhere to Code of Advertisement norms in place
- XIV. In case of broker defaults, be compensated from the Exchange Investor Protection Fund as per the norms in place
- XV. Trade in derivatives after submission of relevant financial documents to the broker subject to brokers' adequate due diligence.
- XVI. Get warnings on the trading systems while placing orders in securities where surveillance measures are in place
- XVII. Get access to products and services in a suitable manner even if differently abled
- XVIII. Get access to educational materials of the MIs and brokers
- XIX. Get access to all the exchanges of a particular segment you wish to deal with unless opted out specifically as per Broker norms
- XX. Deal with one or more stockbrokers of your choice without any compulsion of minimum business
- XXI. Have access to the escalation matrix for communication with the broker
- XXII. Not be bound by any clause prescribed by the Brokers which are contravening the Regulatory provisions.

5. Various activities of Stock Brokers with timelines

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	3 working days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading

5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	First Friday/Saturday of the month / quarter as per Exchange pre-announced schedule
10.	'Statement of Accounts' for Funds, Securities and Commodities	Monthly basis
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	21 calendar days from the receipt of the complaint

6. **DOs and DON'Ts for Investors**

DOs	DON'Ts
<ol style="list-style-type: none"> 1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes. 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and 	<ol style="list-style-type: none"> 1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form. 4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system. 5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker.

<p>bank accounts to get regular alerts on your transactions.</p> <p>6. If executed, receive a copy of Demat Debit and Pledge Instruction (DDPI) However, DDPI is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting DDPI, carefully examine the scope and implications of powers being granted.</p> <p>7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT/CTT etc. as applicable, separately, within 24 hours of execution of trades.</p> <p>8. Receive funds and securities/ commodities on time, as prescribed by SEBI or exchange from time to time.</p> <p>9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.</p> <p>10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (Monthly or Quarterly).</p> <p>11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.</p> <p>12. Retain documents for trading activity as it helps in resolving disputes, if they arise.</p>	<p>6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.</p> <p>7. Do not opt for digital contracts, if not familiar with computers.</p> <p>8. Do not share trading password.</p> <p>9. Do not fall prey to fixed / guaranteed returns schemes.</p> <p>10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.</p> <p>11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments</p>
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Additionally, Investors may refer to Dos and Don'ts issued by MIs on their respective websites from time to time.

7. Grievance Redressal Mechanism

The process of investor grievance redressal is as follows:

1.	Investor complaint/Grievances	<p>Investor can lodge complaint/grievance against stock broker in the following ways:</p> <p><u>Mode of filing the complaint with stock broker</u></p> <p>Investor can approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance</p> <p><u>Mode of filing the complaint with stock exchanges</u></p> <p>i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (https://scores.sebi.gov.in)</p> <p><u>Two level review for complaint/grievance against stock broker:</u></p> <ul style="list-style-type: none"> • First review done by Designated body/Exchange • Second review done by SEBI <p>ii. Emails to designated email IDs of Exchange</p>
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/grievance on SMARTODR platform for its resolution through online conciliation or arbitration.
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<p>1. Investor to approach Market Participant for redressal of complaint</p> <p>2. If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options:</p>

		<ol style="list-style-type: none"> i. May escalate the complaint on SEBI SCORES portal. ii. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. <ol style="list-style-type: none"> 3. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days. 4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation. 5. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute. 6. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. 7. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.
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8. Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)

Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.
- Standard Operating Procedure (SOP) for handling of Claims of Investors in the Cases of Default by Brokers
- Claim processing policy against Defaulter/Expelled members
- List of Defaulter/Expelled members and public notice issued

Annexure – B

Format for Investor Complaints Data to be displayed by Stock Brokers on their respective websites

Data for every month ending

S N	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved*	Pending at the end of the month**		Average Resolution time^ (in days)
						Pending or less than 3 months	Pending for more than 3 months	
1	2	3	4	5	6	7		8
1	Directly from Investors							
2	SEBI (SCORE S 2.0)							
3	Stock Exchanges							
4	Other Sources (if any)							
5	Grand Total							

Trend of monthly disposal of complaints

SN	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	April -YYYY				
2	May-YYYY				
3	June-YYYY				
4	July-YYYY				
				
				
	March-YYYY				
	Grand Total				

*Should include complaints of previous months resolved in the current month, if any.

**Should include total complaints pending as on the last day of the month, if any.




^Average resolution time is the sum total of time taken to resolve each complaint in the current month divided by total number of complaints resolved in the current month.

Trend of annual disposal of complaints

SN	Year	Carried forward from previous year	Received during the year	Received during the year	Pending at the end of the year
1	2021-22				
2	2022-23				
3	2023-24				
4	2024-25				
	Grand Total				

Declaration

The rules and regulations of the Depository and Depository participant pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we maybe held liable for it. In case of nonresident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we further confirm having read/been explained and understood the contents of Right and obligation of the beneficial owner and depository participant/stock brokers & clients, risk Disclosure document, Policies & procedures, schedule of charges/Tariff sheet and acknowledge the receipt of copy of the same. I/we do hereby agree to be bound by such provision 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.

	Name(s) of holder(s)	Signature(s) of holder	Sign to be used for capturing
Sole / First Holder / Guardian (in case sole holder is minor)			
Second Holder			
Third Holder			

Notes:

1. All communication shall be sent at the address of the Sole / First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination are as below:
 - I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
 - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - V. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
 - VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
 - IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
 - X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
 - XI. DP ID and client ID shall be provided where demat details is required to be provided.
4. For receiving Statement of Account in electronic Form:
 - (i) Client must ensure the confidentiality of Password of the email account. (ii) Client must promptly inform the participant if the email address has changed. (iii) Client may opt to terminate this facility by giving 10 days prior notice. Similarly participant may terminate this facility by giving 10 days prior notice.
5. Strike off whichever is not applicable.

Address Proof Content

Proof Of Address

Offline Aadhaar verified e-Aadhaar

This document is generated from zip file obtained from UIDAI site with due user consent and authentication

Document type	e-Aadhaar generated from Digilocker verified Aadhaar XML		
Generated Date		Download Date	
Mask Aadhaar number			
Name			
Date Of Birth			
Gender			
D/O, S/O , C/O			
Address line 1			
Address line 2			
Address line 3			
Address line 4			
HNo & Street			
Locality			
District			
City		Country	
State		PinCode	
	For Limited Circulation CONFIDENTIALPinCode		

GROUP MEMBERSHIP

National Stock Exchange Ltd. (NSE)

Bombay Stock Exchange Ltd. (BSE)

Multi Commodity Exchange (MCX)

National Securities Depository Limited (NSDL)

Visit us at : www.agssl.in



A.G. Shares & Securities Ltd.

[Regd. Office : Shop No.:-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002]

Correspondence Office : Block No. 20/4, 1st Floor Maruti Tower Sanjay Place,
Agra-282002

Phone: 0562-4028900

E-mail Id: info@agssl.in