

Know Your Client (KYC) Application Form – For IndividualsKYC Mode: ☐ Online KYC ☐ Normal ☐ EKYC OTP ☐ Offline E-kyc ☐ Digilocker☒ New ☐ Change Request (Please fill this form in **ENGLISH** and in **BLOCK LETTERS**)

(Please tick the box on left margin of appropriate row where the CHANGE/CORRECTION is required and provide the details in the corresponding row)

☐ **A. IDENTITY DETAILS**

1. Name of the Applicant:*

2. Father's/Spouse's Name:*

3. Mother's Name:*

4. Maiden Name:*

5. A. Gender: * ☐ Male ☐ Female☐ Transgender

C. Date of Birth: * / /

6. Nationality:*

Status:*

B. Marital Status: * ☐ Single ☐ Married☐ Indian ☐ Other (Please Specify)☐ Resident Individual ☐ Non Resident☐ Foreign National (Passport Copy Mandatory)

B. (UID)/Aadhaar, if any:

PAN Card

7. A. PAN:*

8. Proof of Identity Submitted

Please affix your
recent passport
size photo and sign
across it.

**B. ADDRESS DETAILS**

1. Correspondence Address:*

Address Line 1 :

Address Line 2 :

Address Line 3 :

City/Town/Village:

State:

PIN Code:

Country:

2. Specify Proof of Address submitted for Residence/Correspondence Address :

3. Permanent Address: * if different from above or overseas address, (mandatory for Non-Resident Applicant)

Address Line 1 :

Address Line 2 :

Address Line 3 :

City/Town/Village:

State:

PIN Code:

Country:

4. Specify Proof of Address submitted for Permanent Address:

5. Contact Details:*

a. Mobile Number:

b. EMAIL ID:

c. Tel. (Office):

d. Tel. (Residence):

6. Any other Information : _____

7. Are you a Tax Resident of any country other than India? ☐ Yes ☒ No

(if yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below)

Country	Tax Identification Number %	Identification Type(TIN or Other, Please specify)

C. DECLARATION

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



Applicant Signature



Seal & Signature of Authorized Signatory

Date:

Place:

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Applicant Signature



Seal & Signature of Authorized Signatory

Date:

Place:

Additional KYC Form for Opening a Demat Account

For Individuals

SAMCO SECURITIES LIMITED

DEPOSITORY PARTICIPANT – CENTRAL DEPOSITORY SERVICES LTD

DP ID: 12054200 SEBI REGN NO. IN-DP-CDSL-443-2008

A- 302, 3rd Floor, Naman Midtown, A Wing, Senapati Bapat Marg, Prabhadevi, Mumbai – 400013 Tel : 022-22227777, Fax : 022-24031691,

Email: depository@samco.in

(To be filled by the Depository Participant)

Application No. _____ Date _____ DP Internal Reference No. _____

DP ID

1	2	0	5	4	2	0	0
---	---	---	---	---	---	---	---

Client ID

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

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details:-

Holders Details

Sole / First Holder's Name		PAN											
		UID	0										
		UCC											
		Exchange Name & ID											
Sole / Second Holder's Name		PAN											
		UID	0										
		UCC											
		Exchange Name & ID											
Sole / Third Holder's Name		PAN											
		UID	0										
		UCC											
		Exchange Name & ID											

Name * _____

*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

Type of Account (Please tick whichever is applicable)

Status	Sub – Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director
	<input type="checkbox"/> Individual Director's Relative	<input type="checkbox"/> Individual HUF / AOP
	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable
	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable Promoter
	<input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____	

Details of Guardian (in case the account holder is minor)	
Guardian's Name : _____	PAN : _____
Relationship with the applicant : _____	
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)	_____
IFS Code (11 character)	_____
Account number	_____
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____
Bank Name	_____
Branch Name	_____
Bank Branch Address : _____	
City : _____ State : _____ Country : _____ PIN code : _____	

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

☐ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details

Gross Annual Income Details	Income Range per annum: Gross Annual Income range(In Lakh Rs.): Below 1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 1-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> Above 25 <input type="checkbox"/>		
	Net worth as on (Date)	_____	Rs: _____
	[Net worth should not be older than 1 year]		
Occupation	_____		
Please tick , if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)		
Any other information:	_____		
SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).		
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST		
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member Id (Optional)
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.		

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

TM / DP Name and Address		FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)	
Date D D M M Y Y Y Y		UCC/ DP ID I N	
Client ID			
I/We wish to make a nomination. [As per details given below]			
Nomination Details			
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.			
Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee
Details of 3rd Nominee1			
1	Name of the nominee(s) (Mr./Ms.)		
2	Share of each Nominee Equally (If not equally, please specify percentage)	%	%
3	Relationship With the Applicant (If Any)		
4	Address of Nominee(s) City / Place: State & Country:		
	PINCODE		
5	Mobile/Telephone No. of nominee(s)		
6	Email ID of nominee(s)		
7	Nominee Identification details -[Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor			
8	Date of Birth {in case of minor nominee(s)}		
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}		
10	Address of Guardian(s) City / Place: State & Country:		
	PINCODE		
11	Mobile/Telephone no. of Guardian		
12	Email ID of Guardian		
13	Relationship of Guardian with nominee		
14	Guardian Identification details -[Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		
Name(s) of holder(s)		Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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



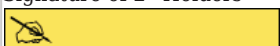

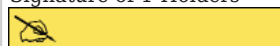
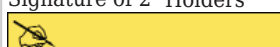
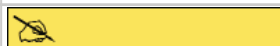
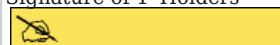
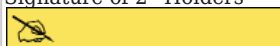

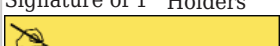
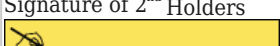
We Accept
For SAMCO SECURITIES LTD

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any. The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Authorized Signatories
REGD. OFFICE: 66, Samruddhi House, Bhaudaji Cross Lane,
Opp. South Indian Gymkhana, Matunga (C.R.), Mumbai-400019

Demat Debit and Pledge Instruction

S.No.	Purpose	Signature of Client*
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	 Signature of 1 st Holders  Signature of 2 nd Holders  Signature of 3 rd Holders
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	 Signature of 1 st Holders  Signature of 2 nd Holders  Signature of 3 rd Holders
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 Signature of 1 st Holders  Signature of 2 nd Holders  Signature of 3 rd Holders
4.	Tendering shares in open offers through Stock Exchange platforms)	 Signature of 1 st Holders  Signature of 2 nd Holders  Signature of 3 rd Holders

Demat Account Details-Samco Securities Limited

EXCHANGE & SEGMENTS	TYPE OF A/C	NSDL	CDSL
BSE CASH	EARLY PAYIN A/C		1100001000018570
NSE CASH	EARLY PAYIN A/C		1100001100018602
NSE CASH	POOL A/C	IN560708	1205420000002691
NSE CASH	TM/CM CMPA A/C		1205420001505078
NSE CASH	SLB POOL A/C		1205420001834205
NSE CASH	TM/CM CSMFA A/C		1205420001506582
NSE CASH	POOL A/C		1205420000002307



Signature of 1st Holders



Signature of 2nd Holders



Signature of 3rd Holders

Voluntary Authorization Letter

To,

SAMCO SECURITIES LIMITED

A- 302, 3rd Floor, Naman Midtown, A Wing, Senapati Bapat Marg,
Prabhadevi, Mumbai – 400013

Dear Sir,

Sub: Voluntary Authorization Letter

BO ID: 12054200 Client code :

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney / Demat Debit and Pledge Instruction (POA / DDPI)] (if DDPI is not granted & you do not wish to avail of this facility, cancel this option).									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%;"><thead><tr><th>Stock Exchange Name/ID</th><th>Clearing Member Name</th><th>Clearing Member Id (Optional)</th></tr></thead><tbody><tr><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td></tr></tbody></table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member Id (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member Id (Optional)								
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

2) Authorisation to debit trading account for the demat account charges

I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and trading purpose. It would be difficult for me/us to keep issuing separate cheques against your depository bills. I/We therefore authorise you to debit the charges payable towards operations of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

3) Option form for issue of DIS Booklet (Voluntary)

I/We hereby state that: [select one of the option given below]

OPTION 1: I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/ We have issued a Demat Debit and Pledge Instruction (DDPI) in favour of **SAMCO Securities Limited** for executing delivery instructions for settling stock exchange trades [Settlement related transactions] effected through such Clearing Member.

OR

OPTION 2: I / We do not require the delivery Instruction Slip(DIS)for the time being, Since samco provides an OTP based online instruction service & we will issue a DDPI in favour of **SAMCO Securities Limited** for executing the delivery instructions for settling stock exchange trades [settlement related transaction]effected through such Clearing Member. However, the Delivery Instruction Slip (DIS)booklet should be issued to me / us immediately on my / our request at any later date.

I We here by select ☐ **OPTION 1** ☒ **OPTION 2**

4) Request for bill/transaction/holding statement through email.

I/We request you to send me/us bill, transaction and holding statement of my CDSL Demat account no. **12054200** _____ at following email address:

I/We fully agree and are aware of following Terms and Conditions mentioned below.

(a) that I/We will not receive the bill, transaction and holding statements in paper form.

(b) that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.

(c) that I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.

(d) that I/We in case bill, transaction and holding statements are sent by email, I/We will immediately inform the SAMCO SECURITIES LIMITED. about change in email address, if any.


In case, the SAMCO Securities Limited is not able to provide bill/transaction statement to its Clients by email or on website due to any reason (including bounced emails), SAMCO Securities Limited will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.

I/We hereby request you to sent the statements: ☐ daily ☐ fortnightly ☐ weekly ☐ monthly

11.



Signature of 1st Holders



Signature of 2nd Holders



Signature of 3rd Holders

Sole Holder or Guardian (in case of minor)

Date: _____

SAMCO TARIFF SHEET

To,

SAMCO SECURITIES LIMITED

A- 302, 3rd Floor, Naman Midtown, A Wing, Senapati Bapat Marg,
Prabhadevi, Mumbai – 400013

Charges for SAMCO Trading Services

I/ We agree to pay the charges as per following charges structure for our Trading account with SAMCO effective _____

Client ID _____ Client Name _____

Equity Intraday	Futures	Options*	Currency Futures	Currency Options*
Rs 20 per executed order or 0.25% of Turnover whichever is lower				

Charge Head	Brokerage / Charges
Equity Delivery	Rs 20 per executed order or 2.50% of Turnover whichever is lower

*Turnover for Options is calculated as (Strike + Premium) *Lot Size

In addition to the brokerage charge the following charges will also be levied

Schedule of Charges:

1. Turnover Charges
2. Securities Transaction Tax
3. GST
4. Stamp Duty: State-wise stamp duty as applicable will be levied
5. Clearing Member charges (on actual basis)
6. SEBI Turnover Fees
7. Call N Trade Charges for Broker assisted trades
8. Demat Charges
9. Payment gateway charges will be applicable.
10. Any additional service request would be charged as per the applicable rates.

Detailed explanation of the Schedule of Charges is available online at https://samco.in/charge_list

DEMAT CHARGES

Sr No.	Services	Corporate	Individual
1	Account Maintenance	Rs.800/- plus GST	Rs.400/- plus GST
2	Deliveries/Debit (Market & Off Market) 1. Within SAMCO DP 2. Outside SAMCO DP (Charges are inclusive of CDSL tariff)	Rs.15/- plus GST per transaction 0.02% on transaction value subject to min. Rs.25/- per transaction plus GST	Rs.15/- plus GST per transaction 0.02% on transaction value subject to min. min. Rs.25/- per transaction plus GST
3	Pledge (Creation/Closure/Invocation)	Rs.25/- per ISIN plus GST	Rs.25/- per ISIN plus GST
4	Dematerialisation	Rs.10/- per certification plus Rs.50/- per request towards postal charges plus GST	Rs.10/- per certification plus Rs.50/- per request towards postal charges plus GST
	Rematerialization	Actual CDSL charges plus Rs.50/- per request towards postal charges plus GST	Actual CDSL charges plus Rs.50/- per request towards postal charges plus GST

- All charges mentioned above are inclusive of CDSL Charges.
- Any service, which is not mentioned above, will be charged separately as per the rates applicable from time to time.
- SAMCO reserves the right to revise the tariff structure from time to time with a notice of 30 days.
- Billing will be made on monthly basis.
- In addition to the above, all other statutory / regulatory levies such as GST etc. are recovered at the applicable rates from time to time.
- All instruction for transfer must be received at the DP at least 3.30 p.m. for the same day execution date & 5.00 p.m. for next day execution date on the pay in date accepted only at client's risk.
- Operation instruction for the joint account must be signed by all the holders.

6.



Signature of 1st Holders



Signature of 2nd Holders



Signature of 3rd Holders

Client Signature

Date: _____

Name of the Applicant

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.

Date

Place



Signature of 1st Holders



Signature of 2nd Holders



Signature of 3rd Holders

Good Till Triggered (GTT) Policy

1. Purpose

The purpose of this Goods Till Triggered (GTT) Order Policy is to define the procedures and conditions under which GTT orders are placed, managed, and executed. This policy aims to provide clarity on how GTT orders work and ensure that they are handled in a transparent and efficient manner.

2. Definition

A GTT order is a type of conditional order that remains valid until a predefined trigger condition is met. Once the trigger condition is satisfied, the GTT order is activated and executed according to the specified instructions.

3. Scope

This policy applies to all GTT orders placed by clients for the purchase or sale of securities, or other financial instruments through our trading platform.

4. Order Placement

Trigger Condition: The client must specify the conditions under which the GTT order will be activated. This could include price levels, quantity, or other relevant criteria. Further on trigger of price, the GTT order will then be executed with exchange.

Order Details: The client must provide complete details of the GTT order, including the trigger condition, order type (buy/sell), quantity, price, and any additional instructions.

5. Validity

Duration: GTT orders are valid until the trigger condition is met or until the order is canceled by the client. GTT orders do not expire until activated or explicitly canceled. The validity of GTT orders is till 31st Dec 2099, after placing the request if they are not triggered according to the specified conditions.

Trigger Satisfaction: Once the trigger condition is met, the GTT order is activated and treated as a standard order, subject to market conditions and execution practices.

6. Order Execution

Activation: Upon activation, the GTT order will be executed based on the prevailing market conditions and the instructions provided by the client.

Partial Execution: If only part of the order can be filled, the remaining quantity may remain open or be canceled based on client instructions.

Market Conditions: Execution is subject to market liquidity and other factors. The company does not guarantee that the order will be executed at the specified price.

7. Modification and Cancellation

Modification: Clients may modify the trigger condition, order details, or other relevant parameters of a GTT order before it is activated.

Cancellation: Clients can cancel a GTT order at any time before it is triggered. Once activated, the order can only be canceled or modified according to standard order management procedures. In the event of corporate actions, all existing GTT orders are canceled one day before the ex-date of the corporate action and clients will be intimated on the same day.

8. Risk Disclosure

Market Risk: Clients should be aware of market risks, including price volatility and liquidity issues, which may impact the execution of GTT orders.

System Risk: There may be technical issues or system limitations that affect the activation and execution of GTT orders. The company does not guarantee that the order will be triggered and executed during market volatility.

9. Compliance and Reporting

Regulatory Compliance: GTT orders and their execution are subject to relevant regulatory requirements and compliance standards. The GTT orders are subject to certain terms and conditions which are listed on our official website www.samco.in

Reporting: Clients will receive reports and confirmations regarding the status and execution of their GTT orders as per standard practices.

Date

Place



Signature of 1st Holders



Signature of 2nd Holders



Signature of 3rd Holders

Policy on facility of voluntary freezing/blocking the online access of the trading account

1. SCOPE AND APPLICABILITY

Samco Securities Limited, being a Trading Member providing Internet Based Trading/ Mobile Trading/ other online access for trading, is required to make available to the clients at least two modes as prescribed by the exchanges through which the client may request for voluntary freezing/ blocking the online access of trading account if any suspicious activity is observed in the trading account.

2. Mode of receipt of request for freezing/blocking the trading A/c:

Following modes shall be provided by the Company for receipt of request for freezing/blocking the clients trading A/c:

1. Client can raise voluntary freeze request through his own Back-office login under Profile section and complete 2FA authentication.
2. A dedicated land Line No.: 022-69080514 is provided to clients to place request for voluntary freezing/ blocking of the online access of the clients' trading account.

3. Procedure to be followed on receipt of request for freezing/blocking the trading A/c.:

n receipt of request from clients through any of the prescribed modes of communications; for freezing/blocking of the online access of the trading account from the client:

1. Company shall validate that the request is received from a registered client and issue an acknowledgement for the same.
2. Company shall freeze/block the online access of the client's trading account and simultaneously cancel all the pending orders of the said client.

To validate that the request for freezing/blocking of the online access of the trading account is received from the respective client; company shall verify, whether request is received from the registered e-mail Id / mobile number of the client

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

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

4. Post freezing/blocking the client's trading account, company shall send a communication on the registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account.

5. Company shall also communicate / provide the details of open positions of client (if any) along-with contract expiry information within one hour from the freezing/blocking of the trading account.

6. Company shall maintain the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients.

4. Re-enabling the client for online access of the trading account: -

Company shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request received on support@samco.in and unfreezing / unblocking the online access of the trading account.

5. Clarification

Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of company.

The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the records of respective Exchanges.

Date

Place



Signature of 1st Holders



Signature of 2nd Holders



Signature of 3rd Holders

* Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion
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 (see table in ‘Transmission aspects’).

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required.

**** 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, 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. _ .

(strike off portions that are not relevant)

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

Name(s) of holder(s)	Signature(s) of holder	Witness Signature*
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 nominee(s) 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. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account i.e.
 - ‘Either or Survivor’ Folios / Accounts - any one of the holder can sign
 - ‘Jointly’ Folios / Accounts - both 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.
- 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'			Total % share
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	100%
A	60%	A	0	0	
B	30%	B	30%	45%	
C	10%	C	10%	15%	
Total	100%	Total	—	60%	

Date

Place



Signature of 1st Holders



Signature of 2nd Holders



Signature of 3rd Holders

Declaration Form for Opting-out of Nomination by holders of physical securities in Listed Companies

(see SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/37 dated March 16, 2023 on Common and Simplified Norms for processing investor's service request by RTAs and norms for furnishing PAN, KYC details and Nomination)

[Under Section 72 r/w Section 24 (1) (a) of Companies Act, 2013 r/w Section 11(1) and 11B of SEBI Act, 1992 and Clause C in Schedule VII and Regulation 101 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015)]

Name of the Company : Samco Securities

Registered Address of the Company : 1104 - A, 11th Floor, Naman Midtown - A Wing Senapati Bapat Marg, Fitwala Rd, Mumbai, Maharashtra 400013

I / we Faiz the holder(s) of the securities particulars of which are given hereunder, **do not wish to nominate** any person(s) in whom shall vest, all the rights in respect of such securities in the event of my /our death.

I/ we understand the issues involved in non-appointment of nominee(s) and further are aware that in case of my / our death, my / our legal heir(s) / representative(s) are required to furnish the requisite documents / details, including, Will or documents issued by the Court like Decree or Succession Certificate or Letter of Administration / Probate of Will or any other document as may be prescribed by the competent authority, for claiming my / our aforesaid securities.

Name(s) and Address of Security holders(s) :

Sole / First Holder Name :

Second Holder Name :

Third Holder Name :



Signature

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