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Sr No.	Name of Document	Brief Significance of the Documents
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES		
1.	Account Opening Form	<ul style="list-style-type: none"> • KYC Form - Document captures the basic information about the constituent and an instruction/ check list. • Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list. Declaration for FATCA/CRS
2.	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges/ Fee Structure
3.	Rights and Obligations	Rights & Obligations for Trading on Exchanges
4.	Risk Disclosure Document (RDD)	Know the risks of the Equity & Derivatives Market
5.	Guidance Note	Do's & Don'ts for Trading on the Exchanges
6.	Policies and Procedures	Policies and Procedures of Stockal Securities Pvt. Ltd. for dealing with Clients (for Brokers)
7.	Rights & Obligations of Beneficial Owners & Stock Broker:	Document stating the Rights & Obligations of Beneficial Owners and Stock Broker

Name of stock broker: **Stockal Securities Private Limited**
 SEBI Registration No. and date: **INZ000301236 dated 18th August 2021**

Registered office (Correspondence) address: **401, Ranka Park Apartment, Richmond Circle, Lalbagh Road Bangalore KA 560027 Ph: 02242792110 Website: www.stockalsecurities.com**

Compliance officer name: **Mr. Chirag Meghani,**
 phone no. 02242792110 email id- **compliance@stockalsecurities.com**

CEO name: **Sitashwa Srivastava**
 phone no. 02242792110 & email id: **legal@stockalsecurities.com**

For any grievance/dispute please contact **Stockal Securities Private Limited** at the above address or email id- **compliance@stockalsecurities.com** and Phone no. 02242792110.

In case not satisfied with the response, please contact the concerned exchange(s) at **is@bseindia.com** or contact at **022-22728097**

CHECK LIST FOR FILLING KYC FORM (List of documents to be Submitted) - For Individual and HUF.		
	Acceptable Documents (Self attested copies required) of Account Holder	Please Tick
PAN card		
Photograph	One Colored Front Face Photograph on photographic Paper (Passport	

	Size)		
Proof of Identity (Any One)	1. Unique identification number (UID) (Aadhaar)		
	2. Valid Passport (Name, Address & Photo page)		
	3. Voter ID (front and back)		
	4. Valid Driving License (Name, Address & Photo page)		
	5. PAN Card		
	6. Other 1 (Pls. Specify) _____		
Proof of Address (Any One)	1. Valid Passport (Name, Address & Photo page)		
	2. Voter ID (front and back)		
	3. Valid Driving License (Name, Address & Photo page)		
	4. Unique identification number (UID) (Aadhaar)		
	5. Bank Statement/Passbook (not more than 2 months old, seal & signature of the bank official)		
	6. Banker's Certificate on letter head of the Bank (ORIGINAL)		
	7. Electricity Bill (not more than 2 months old)		
	8. Resident Landline Tel. Bill (not more than 2 months old)		
	9. Registered Flat Sale Agreement of Residence		
	10. Registered Lease/ Leave & License Agreement		
	11. Other* (Pls. Specify) _____		
Bank Proof Provide for all the Bank Account Mentioned (Any One)	1. Bank Statement/ Bank Passbook with cheque leaf (not more than 2 months old, seal & signature of Bank Official)	specifying name of the constituent, MICR Code or/and IFSC Code of the bank	
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)		
	3. Cancelled Personalized Cheque leaf		
Proof of Income (Any One)	1. Copy of ITR Acknowledgement		
	2. Copy of Annual Accounts		
	3. In case of salary income - Salary Slip, Copy of Form 16		
	4. Net-worth certificate		
	5. Copy of Demat Account Holding Statement		
	6. Bank Account Statement for last 6 months reflecting income		

IMPORTANT INSTRUCTIONS

GENERAL:

- Trading Account will be in the name of First/ Sole holder of Demat and/or Bank A/c only.
- Thumb impression and signatures other than English, Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a special Executive Magistrate.
- Witness should be a person other than co-holder/ joint holder.
- The applicant should authenticate any corrections/ alteration in the account opening form.
- All the fields in the Form must be filled up otherwise the Form may be rejected.
- Signature should be preferably in black ink. In case of any correction cancellation, please provide counter signature on the left side of the page.

BANK DETAILS:

- Cheque/DD towards Registration fees & other charges should be drawn in favour of "Stockat Securities Pvt. Ltd."
- It is mandatory to provide complete Bank Accounts' details. In absence of complete details, form may be rejected. **DEMAT ACCOUNT:**
- For Demat Account, Joint Holder and Nominee cannot be the same person.
- Photographs to be signed across and pasted (Not Stapled) for all the holders in Demat as well as the nominee and his/her guardian.
- In case of joint applicants for Demat Account, copy of PAN, Proof of Address, Proof of Identity and FATCA-CRS Declaration for all Applicants is mandatory.

INSTRUCTIONS/GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

General Instructions:

1. Self-Certification of documents is mandatory.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (☑) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the list mentioned under [I].
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. 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.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. 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.

A. Clarification / Guidelines on filling 'Identity Details' section

1. Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B. Clarification/Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/ insurance number, citizen/personal identification/services code/number, and resident registration number)

C. Clarification / Guidelines on filling 'Proof of Identity [PoI]' section, if PAN Card copy is not enclosed/For PAN exempt Investors

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
3. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. Letter issued by a gazetted officer, with a duly attested photograph of the person.

D. Clarification / Guidelines on filling 'Proof of Address [PoA] section

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity,

telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

E. Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill 'Annexure A1'
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

F. Clarification / Guidelines on filling 'Contact details' section

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

G. Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person if available.

H. Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

I. List of people authorized to attest the documents after verification with the originals:

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. 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).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.
6. Government authorised officials who are empowered to issue Apostille Certificates.

J. List of people authorized to perform In Person Verification (IPV):

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
5. In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.

K. PAN Exempt Investor Category

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official

liquidator, Court receiver, etc.

3. Investors residing in the state of Sikkim.

4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India