

## KASAT SECURITIES PVT LTD

### STEP BY STEP PROCEDURE FOR OPENING TRADING ACCOUNT

- Furnish the Trading account KYC Forms as per your convenience and submit the same along with required documents. Please refer the list of required documents mentioned in our Account opening form.
  - Kindly go through the instructions/guidelines mentioned in KYC form.
  - Keep the original documents ready for verification purpose. Our official will verify the same as per Exchange guidelines.
  - Please note PAN, AADHAR, Proof of Address, Contact Number, Email id and Bank Details are must for opening the account. You may provide copy of cancelled cheque or Transaction statement for last six months along with your KYC form.
  - Once you have performed all the formalities, submit your application form and your trading account opening process is started.
  - Please note that you may require to provide the margin amount before starting the trade.
  - Once the account is created, you will get the Account details from our office by email which you are requested to confirm with our office.
  - In case you wish to contact or you have any grievances, you can mail us on [compliance@kasatsecurities.com](mailto:compliance@kasatsecurities.com) and on phone 020-25338859. You can contact us to know the status of your grievance on your email id or by calling on above said phone no.
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### ATTENTION INVESTORS

- Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 1, 2020.
- Update your mobile number & email Id with your stock broker / depository participant and receive OTP directly from depository on your email id and/or mobile number to create pledge.
- Pay 20% upfront margin of the transaction value to trade in cash market segment.
- Investors may please refer to the Exchange's Frequently Asked Questions (FAQs) issued vide circular reference NSE/INSP/45191 dated July 31, 2020 and NSE/INSP/45534 dated August 31, 2020 and other guidelines issued from time to time in this regard.
- Check your Securities /MF/ Bonds in the consolidated account statement issued by NSDL/CDSL every month.
  - Issued in the interest of Investors.
- Beware of fixed/guaranteed/regular returns/ capital protection schemes. Brokers or their authorized persons or any of their associates are not authorized to offer fixed/guaranteed/regular returns/ capital protection on your investment or authorized to enter into any loan agreement with you to pay interest on the funds offered by you. Please note that in case of default of a member claim for funds or securities given to the broker under any arrangement/ agreement of indicative return will not be accepted by the relevant Committee of the Exchange as per the approved norms.
- Do not keep funds idle with the Stock Broker. Please note that your stock broker has to return the credit balance lying with them, within three working days in case you have not done any transaction within last 30 calendar days. Please note that in case of

default of a Member, claim for funds and securities, without any transaction on the exchange will not be accepted by the relevant Committee of the Exchange as per the approved norms.

- Check the frequency of accounts settlement opted for. If you have opted for running account, please ensure that your broker settles your account and, in any case, not later than once in 90 days (or 30 days if you have opted for 30 days settlement). In case of declaration of trading member as defaulter, the claims of clients against such defaulter member would be subject to norms for eligibility of claims for compensation from IPF to the clients of the defaulter member. These norms are available on Exchange website at following link: <https://www.nseindia.com/invest/about-defaulter-section>
- Brokers are not permitted to accept transfer of securities as margin. Securities offered as margin/ collateral MUST remain in the account of the client and can be pledged to the broker only by way of 'margin pledge', created in the Depository system. Clients are not permitted to place any securities with the broker or associate of the broker or authorized person of the broker for any reason. Broker can take securities belonging to clients only for settlement of securities sold by the client.
- Always keep your contact details viz. Mobile number/Email ID updated with the stock broker. Email and mobile number is mandatory and you must provide the same to your broker for updation in Exchange records. You must immediately take up the matter with Stock Broker/Exchange if you are not receiving the messages from Exchange/Depositories regularly.
- Don't ignore any emails/SMSs received from the Exchange for trades done by you. Verify the same with the Contract notes/Statement of accounts received from your broker and report discrepancy, if any, to your broker in writing immediately and if the Stock Broker does not respond, please take this up with the Exchange/Depositories forthwith.
- Check messages sent by Exchanges on a weekly basis regarding funds and securities balances reported by the trading member, compare it with the weekly statement of account sent by broker and immediately raise a concern to the exchange if you notice a discrepancy.
- Please do not transfer funds, for the purposes of trading to anyone, including an authorized person or an associate of the broker, other than a SEBI registered Stock broker.
- Please ensure that your PAN is linked with your AADHAAR Card so as to enable the activation of your Accounts.
- INVESTOR CHARTER  
Link: <https://www.cdslindia.com/Investors/InvestorCharter.html>

## **ADVISORY 6 KYC ATTRIBUTES COMPLIANCE**

- All investors are requested to take note that 6 KYC attributes i.e., Name, PAN, Address, Mobile Number, Email id and Income Range have been made mandatory. Investors availing custodian services will be additionally required to update the custodian details.
- The last date to update KYC is on or before March 31, 2023.
- Thereafter non-compliant trading accounts will be blocked for trading by the Exchange.
- The non-compliant demat accounts will be frozen for debits by Depository Participant or Depository.

- On submission of the necessary information to the stockbroker and updation of the same by the stockbroker in the Exchange systems and approval by the Exchange, the blocked trading accounts shall be unblocked by the Exchange on T+1 trading day.
- The demat account shall be unfrozen once the investor submits the deficient KYC details and the same is captured by the depository participant in the depository system.
- To ensure smooth settlement of trades, the investors are requested to ensure that both the trading and demat accounts are compliant with respect to the KYC requirement.
- The investors are hereby requested to comply with the regulatory guidelines issued by Exchanges and Depositories from time to time with regard to KYC compliance and related requirements.