



UPDATION OF TRADING PREFERENCE DETAILS

To
M/s Stewart & Mackertich Wealth Management Limited
 4 Lee Road, Vaibhav, Kolkata 700 020.

Sub: Modification in the Common Existing Details/ Additional Details mentioned in the KYC.

1. I/We _____ having PAN _____ registered with you as a client, with Unique Client Code (UCC) _____ wish to modify/add Trading Preference and or activate segment to those mentioned by me/us in the KYC forms submitted to you at the time of my enrolment or at any time of updations thereafter.

2. I wish to add/activate the following segments in my trading account:

TRADING PREFERENCES				
EXCHANGE	SEGMENTS			
NSE	Cash		Currency Derv	
	Equity Derv		MFSS	
BSE	Cash		Currency Derv	
	Equity Derv		BSE Star MF	
MCX	Commodity Derv			

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

3. This letter is in addition to the authorization /preference given earlier by me/us to you updating my trading preferences.

4. I/we understand that the brokerage applied to my accounting any of the new segments/new exchanges, will remain the same as currently offered to me in my trading account.

Incase of any changes, brokerage specified below to be charged in the specified segment –

TARIFF DETAILS

CAPITAL MARKET SEGMENT			
Type of Transactions	Brokerage % (Subject to higher limit of 2.5%)	Minimum Brokerage	One Side / Both Side
Delivery Based			
Daily Square-Off			
EQUITY DERIVATIVE MARKET SEGMENT			
Type of Transactions	Brokerage % (Subject to higher limit of 2.5%/Rs. 100/- per lot in Options)	Minimum Brokerage	One Side / Both Side
Future			
Options			
❖ Brokerage would be charged on the option premium value in case of Options trade			
CURRENCY DERIVATIVE MARKET SEGMENT			
Type of Transactions	Brokerage % (Subject to higher limit of 2.5%/Rs. 100/- per lot in Options)	Minimum Brokerage	One Side / Both Side
Future			
Options			

MANDATORY



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COMMODITY DERIVATIVE MARKET SEGMENT			
Type of Transactions	Brokerage % (Subject to higher limit of 2.5%/Rs. 100/- per lot in Options)	Minimum Brokerage	One Side / Both Side
Future			
Options			
❖ Brokerage would be charged on the option premium value in case of Options trade			
MUTUAL FUND SEGMENT			
Type of Transactions	Brokerage % (Subject to higher limit of 2.5%)	Minimum Brokerage	One Side / Both Side
Delivery Based			

OTHER CHARGES:		
	Nature of Charges	Applicable Charges
1.	Annual Subscription Fee for EXE Based Diet Users	_____ per month
2.	Delayed Payment Charges—On overdue balance towards trading(Standard rate per annum)	_____ % per annum
3.	Document Handling Charges	25/- + applicable taxes per contract note/other documents.
	1. Customer opted for receiving documents by Electronic Mode: In case such customer intends to receive additional / duplicate copies of documents (contract notes, statements etc.) by Physical mode or physical documents are sent due to email getting bounced.	
	2. Customer opted for receiving documents by Physical Mode: In case such customer intends to receive additional / duplicate copies of documents (contract notes, statements etc.) by Physical mode.	
	3. Courier/Postal charges on post updation/modification/changes in KYC Details as per client's request.	50/-+applicable charges

All Statutory Charges presently applicable and / or would be applicable in future, under various legislation of Central Government, State Government, Regulatory Authorities, Stock Exchanges and / or any Public Authorities, would be charged and collected from the Client. The Brokerage will be exclusive of the following except in cases where it is agreed otherwise:

- (i) Goods & Service Tax (GST) (ii) SEBI/Exchange/Clearing Member Charges
- (ii) Stamp Duty (iv) Statutory Charges payable to Exchange/SEBI/Government Authorities.
- (iii) Any Other Charges towards customized / specialized service.

Where the sale/purchase value of a share is Rs. 10/- or less in Capital Market Segment, maximum brokerage of 25 paise per share may be collected.

No brokerage would be charged on Auction Trades, however applicable charges, viz. penalty charges, auction difference, etc., levied by the respective Stock Exchanges as may be debited to Stewart & Mackertich, would be debited to account of the Client.

DECLARATION

- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document', Tariff details. I/We do hereby agree to be bound by such provisions 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, if any.

Signature of Client / (All) Authorized Signatory (ies)		Signature of Client / (All) Authorized Signatory (ies)	
Place:	Date:	Place:	Date:

MANDATORY



ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT

OTHER DETAILS (INDIVIDUAL)

- Gross Annual Income Details (please specify):**
Income Range per annum: Below Rs 1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / >25 Lacs or
Net-worth as on _____ (_____) (Net worth should not be older than 1 year)
- Occupation (please tick any one and give brief details):** Private Sector/ Public Sector/ Government Service/Business/ Professional/ Agriculturist/ Retired/ Housewife/ Student/ Others _____
- Please tick, if applicable:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)

OTHER DETAILS (NON-INDIVIDUAL)

- Gross Annual Income Details (please specify):**
Income Range per annum: Below Rs 1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / 25 Lacs-1 crore/ > 1 crore
- Net-worth as on (date)** _____ (dd/mm/yyyy): _____ (*Net worth should not be older than 1 year)
- Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)

List of financial documents acceptable (any one) for trading in Derivative segments:

INDIVIDUAL CLIENT (Please tick, whichever provided)	CORPORATE CLIENT (Please tick, whichever provided)	
Copy of ITR Acknowledgement (for last financial year)	Copy of Annual Accounts (for last two years)	
In case of salary income – Salary slip, copy of Form 16 (last FY)	Net Worth Certificate (Certified by CA) (Net worth should not be older than 1 year)	
Any other relevant documents substantiating ownership of assets	Copy of ITR Acknowledgement (for last financial year)	
Bank account statement for last 6 months	Copy of Demat Account holding statement (not older than 3 months)	
Copy of Demat Account holding statement (not older than 3 months)	N.B.: * Board Resolution: Mandatory for Corporate clients	
Signature of Client	Client / Authorized Signatory	Client / Authorized Signatory
Place:	Date:	

FOR OFFICE USE ONLY

We undertake that we have made the client aware of 'Policy and Procedures', Tariff Sheet and all the Non-Mandatory Documents. We have also made the client aware of 'Rights and Obligations' Document (s), RDD and Guidance Note. We have given/sent the client a copy of the Trading Preference Updation as requested by the Client above. 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. We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our website, if any, for the information of the clients.

Name of Authorized Signatory		Date & Place Seal/Stamp of Stewart & Mackertich Wealth Management Limited
Signature of the Authorized Signatory		
UCC of Client :	Name of Employee	Signature of Employee
Relationship Manager:		
Dealer		