



# UPDATION OF TRADING PREFERENCE

To  
**M/s SMIFS Limited**  
**4 Lee Road, 5(F), Kolkata 700 020**

**Sub: Modification in the Common details/additional details mentioned in the KYC.**

I/we \_\_\_\_\_ having PAN \_\_\_\_\_ registered with you as a client with client code \_\_\_\_\_ 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 updation thereafter.

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

| C. TRADING PREFERENCES  |                         |     |          |                |                          |
|---|-------------------------|-----|----------|----------------|--------------------------|
| Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you. |                         |     |          |                |                          |
| Exchanges   | NSE & BSE               |     |          |                | MCX, NSE & BSE           |
| All Segments  | Cash/<br>Mutual<br>Fund | F&O | Currency | Debt           | Commodity<br>Derivatives |
|   |                         |     |          | Not Applicable |                          |
| If you do not wish to trade in any of segments / Mutual Fund, please mention here _____ .                   |                         |     |          |                |                          |

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

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

### TARIFF DETAILS

| CAPITAL MARKET SEGMENT              |             |                   |                      |
|-------------------------------------|-------------|-------------------|----------------------|
| Type of Transactions                | Brokerage % | Minimum Brokerage | One Side / Both Side |
| Delivery Based (%)                  |             |                   |                      |
| Daily Square-Off (%)                |             |                   |                      |
| EQUITY DERIVATIVE MARKET SEGMENT    |             |                   |                      |
| Type of Transactions                | Brokerage % | Minimum Brokerage | One Side / Both Side |
| Future (%)                          |             |                   |                      |
| Options (Per Lot)                   |             |                   |                      |
| CURRENCY DERIVATIVE MARKET SEGMENT  |             |                   |                      |
| Type of Transactions                | Brokerage % | Minimum Brokerage | One Side / Both Side |
| Future (%)                          |             |                   |                      |
| Options (Per Lot)                   |             |                   |                      |
| COMMODITY DERIVATIVE MARKET SEGMENT |             |                   |                      |
| Type of Transactions                | Brokerage % | Minimum Brokerage | One Side / Both Side |
| Future (%)                          |             |                   |                      |
| Options (Per Lot)                   |             |                   |                      |

- That where the sale / purchase price value of a share is Rs. 10/- or less, a maximum brokerage of 25 paise per share may be charged.
- That brokerage on Equity and Currency Derivative Options Contracts shall not exceed 2.5% of premium amount or Rs.100/- (per lot) whichever is higher.
- That for Commodity Options Contract Maximum permissible brokerage rate is 2.5% of premium amount or Rs.250/- per lot, whichever is higher.



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| MUTUAL FUND SEGMENT  |  |                   |                      |
|----------------------|--|-------------------|----------------------|
| Type of Transactions | Brokerage %<br>(Subject to higher limit of 2.5%) | Minimum Brokerage | One Side / Both Side |
| Delivery Based       |  |                   |                      |
| SLB SEGMENT          |  |                   |                      |
| Type of Transactions | Brokerage %                                      | Minimum Brokerage | One Side / Both Side |
| SLB Transaction      |  |                   |                      |

| OTHER CHARGES |  |  |
|---------------|--|--|
| SL. No.       | Nature of Charges  | Applicable Charges   |
| 1             | Subscription Fee for EXE Based Diet Users & Availing Mobile Trading Facility towards reimbursement of cost levied by the Software Vendor.  | _____-/-<br>per annum  |
| 2             | Late Payment charges will be levied at a certain percentage at the discretion of SMIFS Limited with maximum rate of @24% per annum on the amount defaulted from the date when the payment is due till the day when the payment is received either by squaring off the position or by selling of securities lying with SMIFS Limited or when the funds are actually paid by the client. For the purpose of ascertaining amount defaulted, any credit in margin account will also be considered.   | _____% per<br>annum  |
| 3             | Trades resulting in brokerage less than Rs. 25/- for a particular settlement, excluding statutory charges, a minimum brokerage of Rs.25/- subject to a maximum of 2.5% will be charged for that settlement.  | Rs. 25/- per<br>contract   |
| 4.            | <b>Document Handling Charges</b><br>(i) Customer opted for receiving documents by <b>Electronic Mode</b> : 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.<br>(ii) Customer opted for receiving documents by <b>Physical Mode</b> : In case such customer intends to receive additional / duplicate copies of documents (contract notes, statements etc.) by Physical mode.<br>Courier/Postal Charges on post updation/modification/changes in KYC details as per Client's Request | 25/- +<br>applicable<br>taxes per<br>contract<br>note/other<br>documents |
| 5.            | Where the sale/purchase value of a share is Rs. 10/- or less in Capital Market Segment, maximum brokerage upto 25 paise per share may be collected   | ____paise<br>per share   |
| 6.            | Where Collateral is provided in the form of Securities towards Margin for Derivative Trading in any Market Segments, Exposure Funding Charges would be levied at a certain percentage at the discretion of SMIFS Limited with maximum rate of @ 24% per annum to match the "Cash : Securities" Ratio Component applying Hair-Cut towards reimbursement of charges levied by Stock Exchange/Clearing Member Norms   | _____% per<br>annum  |
| 7.            | Clearing Charges towards Derivative Trading in any Market Segments, would be levied with maximum rate of Rs. 50/- per Crore of Turnover in Futures Segment & Re. 1/- per Lot in Options Segment, towards reimbursement of charges levied by the Stock Exchange/ Clearing Member  |  |

### 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', Additional Risk Disclosure Document for Trading in Commodity Options, Tariff details, Rights and Obligations' document(s) of SLBS. 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.

|   |              |   |              |
|---|--------------|---|--------------|
|   |              |   |              |
| <b>Signature of Client /<br/>(All) Authorized Signatory (ies)</b> |              | <b>Signature of Client /<br/>(All) Authorized Signatory (ies)</b> |              |
| <b>Place:</b>   | <b>Date:</b> | <b>Place:</b>   | <b>Date:</b> |



## 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) |                                      | <b>N.B.: * Board Resolution: Mandatory for Corporate clients</b>                    |  |
| <b>Signature of Client</b>  | <b>Client / Authorized Signatory</b> | <b>Client / Authorized Signatory</b>  |  |
| <b>Place:</b>   |                                      | <b>Date:</b>  |  |

### 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, Additional RDD for Commodity Options, Rights and Obligations' Document (s) for SLBS, 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.

|  |                         |   |
|--|-------------------------|---|
| <b>Name of Authorized Signatory</b>          |                         | <b>Date &amp; Place Seal/Stamp of SMIFS Limited</b> |
| <b>Signature of the Authorized Signatory</b> |                         |   |
| <b>UCC of Client :</b>                       | <b>Name of Employee</b> | <b>Signature of Employee</b>                        |
| <b>Relationship Manager:</b>                 |                         |   |
| <b>Dealer</b>                                |                         |   |