



SILVER STREAM EQUITIES PRIVATE LIMITED

MEMBER:

NATIONAL STOCK EXCHANGE

BOMBAY STOCK EXCHANGE

CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED

KYC – KNOW YOUR CLIENT POLICY

REGISTRATION OF CLIENTS

Know Your Client Form (KYC)
Member Constituent Agreement (MCA)
Risk Disclosure Document (RDD)
Maintenance/Upload of Unique Client Code

1. Salient features of Know Your Client Forms contains the following

Client information / Status
Bank and Depository Account details
Financial details of the constituent
Investment/ Trading experience
References
Financial documents (for Non-Individual Constituents)

Required attachments with KYC Form

Photograph
Proof of Identity and Proof of Address (PAN Card is must)
Board Resolution from Corporate Clients permitting Trading in various products like Derivatives, commodities, Currency
KYC to be obtained and duly signed by all the Clients

2. Salient Features of Member Constituent Agreement

Printed on a non-judicial stamp paper of appropriate value
To be signed by both the TM and the Client & to be dated
To be witnessed
Must contain clauses prescribed by SEBI/Exchanges time to time
Additional clauses may be included, but shall not be deviated with Rules, Byelaws, Regulations

3. Salient Feature of Risk Disclosure Document

Client to acknowledge the risk disclosure document and be aware that certain basic risks are involved in trading in equity and derivative products
Client is solely responsible for the losses
Client to be aware that Broker/Exchanges/SEBI is not responsible for losses
Client to fulfil certain formalities as a requirement for trading
Client to be aware that contracts cannot be cancelled on the ground of lack of awareness or any other ground
Trading Member to obtain acknowledgement in prescribed format of RDD
Additional clauses may be introduced by the trading member but shall not contradict with the basic format or the Rules, Byelaws, Regulations, etc.



4. Salient Features of Unique Client Code

Every client to be assigned one unique code only
Unique Client Code should be mapped with Back Office and Trading Terminal
Mandatory collection and upload of PAN and Aadhaar for all
Both trading code and Unique Client Code to be printed on the Contract note

5. Issue of Electronic Contract Notes (ECN) and Statement of Account

Should take a consent of Client for Issuing ECNs and Statement of Accounts Electronically

6. Brokerage

Segment wise Brokerage charges (Tariff Sheet) to be shown and signed by Client
In case of option Contract brokerage to be charged on option premium amount which shall not
Exceed 2.5% of premium amount or Rs. 100/- per lot whichever is higher

7. Transfer of Trades

No Transfer of trades from PRO to client and vice versa
No transfer of trades from one client to another

8. Others

No charging of excess rates for the trades
Declaration of PRO trading to clients
Confidentiality of Client information
Client trades to be done with C.I.I code only