

**MANDATORY DOCUMENT INDEX**

Sr. No	Contents	Brief Significance	Page No.
1	Introductory Letter		1
2	Know Your Client (KYC)-INDIVIDUAL	Registration and Account Opening form for Individual. This document contains all the important and relevant details about client as prescribed by SEBI/Exchanges and is required by us for day to day operations. This document is common for all Segments.	3
3	Know Your Client (KYC)-CORPORATES	Registration and Account Opening form for Non – Individual. This document contains all the important and relevant details about client as prescribed by SEBI/Exchanges and is required by us for day to day operations. This document is common for all Segments.	6
4	Member Constituent Agreement (MCA)	Agreement between Stock Broker and Client Combined Agreement for Cash and Derivatives Segment. These documents are legally binding agreements containing terms and conditions governing business relationship of client and broker. All the terms and conditions contained in these documents are uniform for all clients/brokers and are as prescribed by SEBI/Exchanges.	11
5	Tripartite Agreement (TPA)	Tripartite Agreement between Stock Broker, Sub – Broker, and Client for Capital Market Segment. These documents are legally binding agreements containing terms and conditions governing business relationship of clients and broker/sub-broker. All the terms and conditions contained in these documents are uniform for all clients and broker/sub-broker and are as prescribed by SEBI/Exchanges. For Derivatives Segment Member Constituent Agreement (MCA) needs to be executed.	15
6	Risk Disclosure Document(RDD)	This document contains important information, various types of potential risks and other factors relevant to and affecting client's decisions as well as resultant profits/losses while dealing in the products and services offered by us.	20
7	Important Policies and Procedures	This document contains policies and procedures to be followed by S.G.SECURITIES relating to the various operational issues of day to day business activities. The clients are requested to go through it carefully and keep it in mind while dealing through us.	26

**NON-MANDATORY DOCUMENT INDEX**

Sr. No	Contents	Brief Significance	Page No.
8.	Voluntary Clauses (MCA)	Additional Voluntary Terms & Conditions Agreement (MCA). These documents contain additional terms and conditions agreements governing business relationship of client and broker. All the terms and conditions contained in these documents are voluntary in addition to the mandatory agreement. These are not prescribed by the SEBI/Exchanges, but are necessary for proper maintenance of the trading account. These terms and conditions are not in contravention of rules and regulations of SEBI/Exchange.	28
9.	Voluntary Clauses (TPA)	Additional Voluntary Terms & Conditions Agreement (TPA). These documents contain additional terms and conditions agreements governing business relationship of client and broker/sub-broker. All the terms and conditions contained in these documents are voluntary in addition to the mandatory agreement. These are not prescribed by the SEBI/Exchanges, but are necessary for proper maintenance of the trading account. These terms and conditions are not in contravention of rules and regulations of SEBI/Exchange.	31
10	Electronic Contract Note Authorization (ECN)	This document contains terms and conditions for enabling clients accounts for Electronic Contract Note (ECN) for both Capital Market and Derivative Segment. ECN are digitally signed contract notes in electronic format issued in lieu of physical print outs of contract notes and forwarded to the designated email ids of client as intimated by the client to us.	34
11	Running Account Authorization	For the operational convenience, if a client is dealing frequently and wishes to avoid exchange of funds and securities for every segment separately and on a daily/due date basis, this document may be signed by the client authoring broker to keep the account as running account across all segment.	35
12	Miscellaneous orders and trade authorization	Authorization for orders, Trades, Confirmations ,collection of bills / contracts etc for both CM and Derivative Segment.	36
13	Bank Verification Document	Format of letter to be obtained from a bank to establish operation of Bank Account ,identity & Signature.	37
14	Multiple Bank / Depository Details	Details of Multiple Bank / Depository Accounts to be used for Pay in / Pay out.	38
15	Family Account Adjustments	Authorization for Adjustment of Balances in family Accounts.	39