

Account Details Addition / Modification / Deletion Request Form



PROSPERA FINSTOCKS PRIVATE LIMITED.

UNIT NO 24A, GROUND FLOOR,
VIPUL AGORA BUILDING,
MG ROAD GURGAON HARYANA-122002

Application No.		Date																	
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Please fill all the details in Block Letters in English

DP ID	1	2	1	0	4	3	0	0	Client ID										
Trading id																			

Account Holder's Details	
Name of First / Sole Holder	
Name of Second Holder	
Name of Third Holder	

- I/We request to carry out the change of address / signature in the demat account
- I/We request to carry out the change of address / signature in the KRA and demat account

I/We request you to make the following additions / modifications / deletions to my/our account in your records.

Details (Pl. specify change of address, bank details, Telephone number/ Email id etc.)	Addition / Modification / Deletion (Please specify)	Existing Details	New Details

Attach an Annexure (with signature(s)) if the space above is found insufficient.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

PROSPERA FINSTOCKS PRIVATE LIMITED

POLICY ON GOOD TILL CANCELLED ORDERS

Background

Exchanges vide its circular NSE/INSP/62528 dated June 21, 2024 and 20240622-2 dated June 22, 2024 pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled" / "Good Till Triggered" orders or orders of similar type.

Scope

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

Details of Good Till Cancelled orders

- PROSPERA FINSTOCKS PRIVATE LIMITED facilitates its clients to place Good Till Cancelled Orders (GTCO)
- GTCO is a order facility through which a client can place buy and sell limit orders in shares, index futures & index options specifying the period for which the order instruction is valid. The period selected by the client shall be within the maximum validity date defined by PROSPERA FINSTOCKS PRIVATE LIMITED
- All existing and new clients of PROSPERA FINSTOCKS PRIVATE LIMITED who are eligible to trade in Equity Cash product & Derivatives can avail GTCO facility for order placement.
- The facility of placing a GTCO order is available in Equity Cash product, Index futures, Index Options and E-Margin (MTF) product only. It is not available for other products like Margin, Spot, etc. As and when, GTCO orders are introduced in new segments the same shall be displayed through the PROSPERA FINSTOCKS PRIVATE LIMITED website and subsequently updated in the policy.
- Client can specify disclosed quantity while placing cash orders with GTCO order validity.
- GTCO orders can only be placed by specifying a limit price. GTCO orders cannot be placed at market price.
- GTCO orders can be placed during the pre-open session for all scrips, however only orders in scrips that are pre-open enabled would be sent to exchange during the pre-open session. Orders in all other scrips not enabled for pre-open session would be treated as overnight orders and sent to exchange during normal trading session.

- Client shall ensure that necessary funds/margins are available to place GTCO orders in their account for the unexecuted quantity of the order.
- “Order Validity Date” means the date entered by the client while placing GTCO orders. This date shall be equal to or less than the maximum validity date defined by PROSPERA FINSTOCKS PRIVATE LIMITED which would appear as the default “Order Validity Date”. Client can choose the GTCO order validity date as less than or equal to the maximum validity date defined by PROSPERA FINSTOCKS PRIVATE LIMITED. Client shall not be allowed to place orders with GTCO validity beyond maximum defined validity date.

Handling of GTCO orders in case of corporate actions

- Post Corporate Action, GTCO orders will be validated against DPR (Daily Price Range) sent by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges.
- The orders which would get failed in circuit check and daily price range for next day pumping would be kept in system in “GTCO Blocked” status for retry on subsequent trading day.
- Emails and SMS will be sent to the customers when the GTCO orders fall short of Funds / Securities or Blocked due to price beyond DPR range.

Updating Clients of upcoming Corporate Actions

All upcoming corporate actions including dividend, bonus, split, etc. shall be intimated to clients having unexecuted GTCO orders at least one day prior to the ex-date of the corporate action. Clients shall review their GTCO orders pro-actively whenever there may be impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

Most Important Terms and Conditions (MITC)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone including your own Prospera, our representatives and dealers to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with Prospera before you trade. The collateral can either be in the form of funds transfer into specified Prospera bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on Prospera website. Please donot transfer funds into any other account. Prospera is not permitted to accept any cash from you.
3. Prospera Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that Prospera will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of Prospera. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. Prospera is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. Prospera is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you by Prospera directly at the website of the Clearing Corporation(s).
6. You will get a contract note from Prospera within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to Prospera for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. Prospera is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with us as and when requested for. Kindly also keep your email Id and mobile phone details with us always updated.
9. In case of disputes with Prospera, you can raise a grievance on grievances@prospera.com, the dedicated investor grievance ID of Prospera. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Policy for Voluntary Freezing / Blocking of Trading Account – Prospera Global Securities Ltd.

Introduction: The policy for voluntary freezing/blocking of trading account has been designed in accordance with the guidelines prescribed by SEBI vide circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 on the subject "Ease of Doing Investments by Investors-Facility of voluntary freezing/ blocking of Trading Accounts by Clients" and the subsequent guidelines prescribed by the stock exchanges (NSE vide Circular no. NSE/INSP/61529 Dated April 08, 2024 and BSE vide circular no. 20240408-12 dated April 8, 2024) on the subject "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of trading account to their clients".

Purpose: The procedures/details mentioned in this document are in accordance with the guidelines mentioned in the above-mentioned SEBI & exchange circulars. These guidelines aim to facilitate the freezing/blocking of the client's online trading account (based on request received from the client) in case any suspicious activity is noticed by the client in his/her/its account.

Scope: This policy is applicable to all clients who have opened their trading account with PROSPERA FINSTOCKS PRIVATE LIMITED (PFPL). However, please note that –

1. Freezing/blocking is only for the client's online access to the trading account and there shall be no restrictions on PFPL to carry out any Risk Management activities
2. The request for freezing/ blocking the account will not lead to marking the client's Unique Client Code (UCC) as inactive in the Exchange records.

Procedure to Freeze/Block the Online Trading Account:

The client may request for voluntary freezing/blocking of online access to his/her trading account through any of the modes mentioned below. All efforts will be taken by PFPL personnel to fulfil the client's request in the below timeline –

1. **Timelines:** PFPL intends to follow below timelines to freeze/block the online trading account in accordance with the request received from the client.
 - a. **Request received during the trading hours & within 15 minutes before start of trading** - within 15 minutes.
 - b. **Request received after the trading hours & 15 minutes before start of trading** - before the start of the next trading session.
2. **Modes:** Clients can place a request to report any suspicious activity or to voluntarily freeze their trading account via the following modes–
 - a. By sending an email from his/her/its registered email id to stoptrade@Prospera.com
 - b. By calling on customer care desk at 9929996995 from their registered mobile number during normal business hours.

Note: stringent identity verification will be conducted before considering any client's block requests. Hence, all clients are requested to keep all their Personal Identification Information (such as PAN, DOB, Trading ID, Demat ID etc.) handy to facilitate smooth and fast processing of requests.
3. While sending email to request for freezing of their trading account, clients are requested to provide detailed information about the reason for the same.
4. **Process:** PFPL shall follow the below process for the requests received through any mode of communication mentioned above –

- a. Verify whether request is received from the registered mobile number/e-mail ID of the client.
 - If the request is received from another mobile number and/or email id (other than the registered email id/mobile number), proper verification of the client shall be done.
 - During the verification process, PFPL personnel would ask the client/s a series of questions (basic checks) to understand the gravity of the request received. These questions would relate to but will not be limited to the existing positions in the client's account, inadvertent sharing of login credentials, OTPs, orders, devices used for trading, etc.
 - b. Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
 - c. Send the acknowledgement to the client's registered email ID and/or mobile number stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.
 - d. In addition to the above, details of open positions (if any) to also be communicated to the client on his/her/its registered email ID along with contract expiry information. This shall help to eliminate any settlement risks.
5. Clients are requested to make an informed decision based on these suggestions and communicate their decisions clearly and unequivocally such that PFPL personnel can proceed with blocking/freezing of client's trading account.

Procedure to Unfreeze/Unblock the Online Trading Account: Clients can unfreeze/unblock their online trading accounts by raising a request via any of the modes –

- a. By sending an email from his/her/its registered email id to stoptrade@Prospera.com
- b. By calling on customer care desk at 9929996995 from their registered mobile number.

In order to unfreeze/unblock the trading account, the client would need to undergo stringent due diligence checks including validation of reactivation request and/or mandatory re-KYC.