AAA INSTITUTIONAL SECURITIES PVT LTD

Space On B-16-A, Plot No-5, Community Centre, New Friends Colony, New Delhi - 110065 | Tel. No.: +91-11-45511315 | Mob. No. +91-96677 38861

Email: info@aaa-securities.com | Website: www.aaa-securities.com

CIN: U66120DL2026PTC464792

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

1. UNIQUE CLIENT CODE AND TRADING CREDENTIALS

Your trading account with **AAA Institutional Securities Private Limited** is identified by a **Unique Client Code (UCC)**, which is different from your demat account number.

You must not permit any person, including the stock broker, its representatives, dealers or any other person, to trade in your trading account without your specific instructions for such trades.

You must keep your internet/mobile trading account login credentials confidential and **must not share your user ID, password, OTP or other authentication credentials with anyone**.

2. MARGIN / COLLATERAL

You are required to provide collateral as margin to **AAA Institutional Securities Private Limited** before undertaking trades, as may be applicable.

Collateral may be provided in the form of:

- funds transferred to the designated bank account(s) of the stock broker; or
- securities provided by way of margin pledge from your demat account, as permitted under applicable regulations.

The designated bank account details of **AAA Institutional Securities Private Limited** are available on the Company's website.

Do not transfer funds to any account other than the designated bank account(s) of the Company.

The Company is **not permitted to accept cash** from clients towards margins or any other

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trading obligations.

3. RISK MANAGEMENT AND CHARGES

The **Risk Management Policy** of **AAA Institutional Securities Private Limited** specifies the manner in which trading limits/exposure may be provided to clients and the applicable risk management measures.

The Company's **Tariff Sheet** specifies the brokerage, charges, fees and other applicable charges that may be levied on clients.

Clients are advised to carefully read and understand the Risk Management Policy and Tariff Sheet before undertaking transactions.

4. PAYOUT AND TRANSFER OF SECURITIES

Securities purchased by you shall be transferred to your demat account within **one working day of the payout**, subject to applicable regulatory requirements.

In case securities are purchased but are not fully paid for by you, the transfer of such securities may be subject to a **limited-period pledge**, i.e. seven trading days after the payout, through **CUSPA pledge** created in favour of the stock broker, wherever applicable and as permitted under the applicable regulatory framework.

You may view your demat account balances directly through the website/platform of the concerned Depository after creating the requisite login credentials.

5. FUNDS RECEIVED FROM CLIENTS AND SETTLEMENT

AAA Institutional Securities Private Limited shall handle and maintain funds received from clients in accordance with the applicable SEBI, Stock Exchange and Clearing Corporation requirements.

Funds received from clients shall be appropriately allocated and maintained in accordance with the applicable regulatory framework.

The Company shall return excess funds to clients in accordance with the applicable **quarterly/monthly settlement** requirements.

Clients may verify the amounts allocated to them through the relevant Clearing Corporation(s), wherever such facility is available.

6. CONTRACT NOTE

You shall receive a **Contract Note** from **AAA Institutional Securities Private Limited** within **24 hours of the trade**, subject to applicable regulatory requirements.

Clients are advised to carefully verify the details contained in the Contract Note and promptly bring any discrepancy to the Company's notice.

7. DDPI

You may provide a one-time **Demat Debit and Pledge Instruction (DDPI)** authority to **AAA Institutional Securities Private Limited** for limited purposes permitted under applicable regulations.

Such authority may include the transfer of securities sold by you for meeting pay-in obligations and other permitted purposes.

Clients are advised to carefully read and understand the scope and terms of the DDPI before providing such authorisation.

8. CLIENT FINANCIAL INFORMATION AND CONTACT DETAILS

AAA Institutional Securities Private Limited is required to understand the financial status and risk profile of its clients and monitor client accounts in accordance with applicable regulatory and risk management requirements.

You should provide accurate and updated financial information, including **income, net worth and other relevant information**, whenever requested by the Company.

You must also ensure that your **email ID and mobile number** registered with **AAA Institutional Securities Private Limited** remain updated at all times.

9. GRIEVANCE REDRESSAL

In case of any dispute, issue or grievance relating to the services provided by **AAA Institutional Securities Private Limited**, you may raise the grievance through the Company's designated **Investor Grievance/Complaint Redressal mechanism** and dedicated grievance email ID.

You may also approach the concerned **Stock Exchange(s)** and/or **SEBI** directly in accordance with the applicable grievance redressal framework.

10. PROHIBITION OF ASSURED / GUARANTEED RETURNS

Any scheme or arrangement offering **assured, guaranteed or fixed returns**, or any other scheme of a similar nature, is prohibited by law where undertaken in violation of applicable regulatory requirements.

Clients are cautioned that they **will not have any protection or recourse from SEBI or the Stock Exchange(s)** in respect of participation in any such prohibited schemes or arrangements.

Clients should not rely on any person promising assured or guaranteed returns in connection with securities market transactions.

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CLIENT ACKNOWLEDGEMENT

We confirm that We have read and understood the above **Most Important Terms and Conditions (MITC)** applicable to our trading relationship with **AAA Institutional Securities Private Limited**.

Client Name: ______________________________

Unique Client Code (UCC): ___________________

Signature: _________________________________

Date: _____________________________________

Place: ____________________________________

For AAA Institutional Securities Private Limited

Authorised Signatory

Name: ______________________________

Designation: _________________________

Date: _______________________________

Document: Most Important Terms and Conditions (MITC)
Company: AAA Institutional Securities Private Limited
Version: 1.0