

ICICI Securities Limited



Name of Clearing Corporation: NSE Clearing Limited.  
(FUTURES & OPTIONS SEGMENT).  
SEBI REGN. NO.: INZ000183631  
Clearing no. 07730

Derivatives Contract Note



To,  
KALPANA KRISHNAMURTHY  
1803 DLF MANGOLIAS SECTOR 42 GOLF COURSE ROAD

GURGAON 122009  
HARYANA INDIA

State code : 06

Trading Back Office Code 8504184469  
UCC of client 8504184469  
PAN of Client AAGPI4717G  
Tel No. null  
Mob No. : 9820598200  
GST identification no. of client:

Registered Office :  
ICICI Centre,  
H.T. Parekh Marg, Churchgate,  
Mumbai - 400 020, India.  
Tel No:022-22882460/2470 Fax 022-66377211

Dealing Off : Shree Sawan Knowledge Park,  
Gr. Floor, Plot No. D-507, TTC Industrial Area, MIDC, Turbhe,  
Navi Mumbai - 400 705, Maharastra India  
Tel: 91-22-4070 1000  
Fax: 91-22-4070 1022

Principal place of business:  
Ground Floor, Unit No 4, 5 and 6, JMD Regent Square, Mehrauli  
Road,Gurgoan, , , Gurgaon - 122002, Haryana

Compliance Officer:- Mr. Anoop Goyal  
Tel No : 022 - 40701000  
Email :complianceofficer@icicisecurities.com  
Email ID for Investor complaint:coo@icidirect.com  
Website : www.icidirect.com  
Corporate Identification Number (CIN): L67120MH1995PLC086241

Sir/Madam,  
I /We have this day done by your order and on your account the following transactions:

Contract Note No. : ISEC/202021/4243951  
TRADE DATE : 15-Jan-2021

Order No.	Order Time	Trade No.	Trade Time	Contract Description	Buy(B) / Sell(S)	Bought Qty	Sold Qty	Gross Rate / Trade Price per Unit	Brokerage per Unit	Net Rate per Unit	Net Total (Before Levies)	Remarks
								(₹)	(₹)	(₹)	(₹)	
1500000034477128	15-01-2021 12:31:54	833821484	12:31:54	SUNPHARMA-FUTSTK-28JAN2021-FUT	Buy	1400		615.40	0.0000	615.4000	861,560.0000	@
1500000034516573	15-01-2021 12:32:08	833821966	12:32:08	SUNPHARMA-FUTSTK-28JAN2021-FUT	Buy	1400		615.45	0.0000	615.4500	861,630.0000	@
1500000034533144	15-01-2021 12:32:16	833822090	12:32:16	SUNPHARMA-FUTSTK-28JAN2021-FUT	Buy	1400		615.55	0.0000	615.5500	861,770.0000	@
1500000034546909	15-01-2021 12:32:22	833822303	12:32:22	SUNPHARMA-FUTSTK-28JAN2021-FUT	Buy	1400		615.55	0.0000	615.5500	861,770.0000	@
1500000034572254	15-01-2021 12:32:31	833822533	12:32:31	SUNPHARMA-FUTSTK-28JAN2021-FUT	Buy	1400		615.35	0.0000	615.3500	861,490.0000	@
1500000034622468	15-01-2021 12:32:50	833822867	12:32:50	SUNPHARMA-FUTSTK-28JAN2021-FUT	Buy	1400		615.40	0.0000	615.4000	861,560.0000	@
1500000035981386	15-01-2021 12:42:06	833835267	12:42:06	PEL-FUTSTK-28JAN2021-FUT	Buy	550		1,625.95	0.0000	1625.9500	894,272.5000	@
1500000036009398	15-01-2021 12:42:21	833835561	12:42:21	PEL-FUTSTK-28JAN2021-FUT	Buy	550		1,625.65	0.0000	1625.6500	894,107.5000	@
1500000036029408	15-01-2021 12:42:30	833835749	12:42:30	PEL-FUTSTK-28JAN2021-FUT	Buy	550		1,625.50	0.0000	1625.5000	894,025.0000	@
1500000036044614	15-01-2021 12:42:37	833835928	12:42:37	PEL-FUTSTK-28JAN2021-FUT	Buy	550		1,626.00	0.0000	1626.0000	894,300.0000	@
1500000036085181	15-01-2021 12:43:00	833836346	12:43:00	PEL-FUTSTK-28JAN2021-FUT	Buy	550		1,626.40	0.0000	1626.4000	894,520.0000	@

Pay in Obligation			₹	348524.99
Taxable value of supply: ^				
a) Total brokerage			₹	.00
b) Exchange Transaction Charges			₹	154.2500
c) SEBI Turnover Fees			₹	4.8300
Total Taxable value of supply (a+b+c)			₹	159.08
	Brokerage (a)xGST	Charges (b+c)xGST		
CGST* (Rate 9.00%)	.00	14.32	₹	14.32
SGST/UTGST* (Rate 9.00%)***	.00	14.32	₹	14.32
IGST* (Rate .00%)	.00	.00	₹	.00
e) Securities Transaction Tax **			₹	0.0000
f) Stamp Duty**			₹	193.0000
Net Amount payable by Client			₹	348905.71

# indicates the position is squared off by I-Sec Risk Management System (RMS) due to margin shortfall.

@ indicates contracts which are settled through physical delivery

~ indicates the position is squared off by I-Sec Risk Management System (RMS) due to margin shortfall and contract which are settled through physical delivery

\* CGST - Central GST; SGST - State GST; IGST : Integrated GST; UTGST : Union Territory Tax

^ Taxable value of supply is charges on which GST is applicable.

\*\* ICI Securities Limited is collecting the Stamp duty and Securities Transaction tax as a pure agent of the investor and hence the same is not considered in taxable value of supply for charging GST.

\*\*\* Applicable for customer based at Kerala: The SGST component also covers the disclosure of KFC at 1%, hence tax rate of SGST is shown as 10%.

Details of trade-wise levies shall be provided on request.

Transactions mentioned in this contract note cum bill shall be governed and subject to the Rules, Bye-laws, Regulations and Circulars of the respective Exchanges on which trades have been executed and Securities and Exchange Board of India issued from time to time. It shall also be subject to the relevant Acts, Rules, Regulations, Directives, Notifications, Guidelines & Circulars issued by SEBI / Government of India / State Governments and Union Territory Governments issued from time to time. The Exchanges provide Complaint Resolution, Arbitration and Appellate arbitration facilities at the Regional Arbitration Centres (RAC). The client may approach its nearest centre, details of which are available on respective Exchange’s website. Please visit [www.nseindia.com](http://www.nseindia.com) for NSE.

Yours faithfully,  
For ICI Securities Limited.



Authorized Signatory,  
Member of National Stock Exchange of India Ltd.  
PAN NO.: AAACI0996E  
GSTIN NO.: 06AAACI0996E1ZP  
Description of service : Brokerage and related securities And commodities services including commodity exchange Services  
Accounting code of services : 997152

Date 15-Jan-2021  
Place : Mumbai

Authorized Signatories:  
Mr.Prasannan Keshavan, Mr.Vishal Gulechha, Mr.Max Menezes, Mr.Ketan Karkhanis, Mr.Ashit Raja, Mr.Pankaj Shah, Mr.Paulraj Muralidharan, Mr.Srikanth Nagesh, Mr.Nilesh Naik, Ms.Deepali Thakkar, Mr.Ramakrishna Oruganti

Annexure to Contract Note  
Compliance with Fit and Proper requirement, applicable in case of trading in securities of listed Stock Exchanges

- 19.Eligibility for acquiring or holding shares.
19. (1) No person shall, directly or indirectly, acquire or hold equity shares of a recognized stock exchange or recognized clearing corporation unless he is a fit and proper person.
- (2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a recognised stock exchange or recognised clearing corporation shall seek approval of the Board within fifteen days of the acquisition.
- (3) A person eligible to acquire or hold more than five per cent of the paid up equity share capital under sub-regulation (2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five per cent of the paid up equity share capital of a recognised stock exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.
- (4) Any person holding more than two per cent of the paid up equity share capital of the recognised stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.
- (5) If approval under sub-regulation (2) or (4) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.
- (6) Any person holding more than two per cent of the paid up equity share capital in a recognised stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognised clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.

20.Fit and proper criteria.

20. (1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if—
- (a) such person has a general reputation and record of fairness and integrity, including but not limited to—
- (i) financial integrity;
  - (ii) good reputation and character; and
  - (iii) honesty;
- (b) such person has not incurred any of the following disqualifications—
- (i) the person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;
  - (ii) an order for winding up has been passed against the person;
  - (iii) the person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;
  - (iv) an order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
  - (v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
  - (vi) the person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and
  - (vii) the person is financially not sound.
- (2) If any question arises as to whether a person is a fit and proper person, the Board’s decision on such question shall be final.

**Eligibility for acquiring or holding shares in a depository**

- 6B. (1) No person shall, directly or indirectly, acquire or hold equity shares or voting rights of a depository unless he is a fit and proper person.
- (2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquires equity shares such that his shareholding exceeds two percent. of the paid up equity share capital of a depository, shall seek approval of the Board within fifteen days of the acquisition.
- (3) Any person holding more than two per cent. Of the paid up equity share capital of the depository on the date of commencement of the Securities and Exchange Board of India (Depositories and Participants) (Amendment) Regulations, 2012, shall seek approval of the Board within a period of ninety days from the date of such commencement.
- (4) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.
- (5) Any person holding more than two per cent. of the paid up equity share capital in a depository shall file a declaration within fifteen days from the end of every financial year to the depository that he complies with the fit and proper criteria.
- (6) Save as otherwise provided in these regulations, the shareholding or voting rights of any person in a depository shall not exceed the limits specified in these regulations at any point of time.
- (7) For determining the shareholding of any person in a depository as specified in these regulations, any instrument held, owned or controlled, directly or indirectly, by him that entitles him the voting rights or provides for entitlement to voting rights or equity shares or any other rights over equity shares at any future date, shall also be included.

**Criteria for determining a 'fit and proper person'**

- For the purpose of determining as to whether an applicant or the intermediary is a fit and proper person 'the Board may take account of any consideration as it deems fit, including but not limited to the following criteria in relation to the applicant or the intermediary, the principal officer [ , the director, the promoter] and the key management persons by whatever name called –
- (a) Integrity, reputation and character;
  - (b) Absence of convictions and restraint orders;
  - (c) Competence including financial solvency and networth
  - (d) Absence of categorization as a wilful defaulter.

Annexure

Statement of Securities Transaction Tax for Derivative

Stock Exchange	National Stock Exchange of India Ltd.	Stock Broker Name	ICICI Securities Ltd.
Stock Broker Code	07730 (SEBI INZ000183631)	Trading Client Name	KALPANA KRISHNAMURTHY
Trading Client Code	8504184469	Trading Client MAPIN	
Trading Client PAN	AAGPI4717G	Contract Note Date	15-01-2021
Contract Note No.	ISEC/202021/4243951		

Security	Expiry Date	Value of Transactions (Futures)		Value of Transactions (Options )		TotalSTT (₹)
		Sale	STT (₹)	Sale	STT (₹)	
TOTAL (₹)						0.0000
Securities Transaction Tax (round to the nearest rupee) (₹)						0.0000

Place : Mumbai  
Date : 15-Jan-2021

For ICICI Securities Limited.



Authorised Signatory