



ORIGINAL FOR RECIPIENT

**CONTRACT NOTE CUM TAX INVOICE**

(Tax Invoice under Section 31 of GST Act)

**AXIS SECURITIES LIMITED****SEBI Reg. No. : NSE,BSE - INZ000161633****Contract Note No. : 202100063148 Trade Date : 07-APR-20****Unique Client Code : 2379376 Internal Client Code : 2379376**

	NCL EQUITY	NCL F&O	NCL CDX
Sett No:	2020067	--	
Sett Date:	09-APR-2020	--	--

**Registered Office:** Axis House , 8th Floor, Wadia International Centre, Pandurang Budhkar Marg, Worli, Mumbai. 400025

Tel: 24252525, Email: customer.grievance@axisdirect.in, Website: www.axisdirect.in

**Compliance Officer:** Anand Shaha, Email : compliance.officer@axisdirect.in, Tel: 022-42671582.**Main/Dealing Office:** Unit no. 8, Phoenix Mkt. City,, 15, LBS Road, Nr Kamani Junc. Kurla (West), , MUMBAI, 400070, MAHARASHTRA, INDIA, Tel 02240508080

To,  
NEERAJ GUPTA,  
NO 248 GROUND FLOOR 4TH CROSS, 1ST BLOCK KORAMANGALA,  
,  
BANGALORE, 560034, KARNATAKA  
INDIA

**State/State Code (Place of supply):** KARNATAKA/29**PAN No.:** AEWPG4169E**GSTIN No.:**

Dear Sir/ Madam,

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

Order No.	Order Time	Trade No.	Trade Time	Security/ Contract description	Buy (B)/ Sell (S)	Quantity	Gross Rate/ Trade Price Per unit (Rs)	Brokerage per Unit (Rs)	Net Rate per Unit (Rs)	Net Total (Before Levies) (Rs)	Remarks
NSE-Cash Normal											

1100000013083567	15:26:33	31096737	15:26:33	HDFC LTD-INE001A01036	B	250	1554	0.0286	1554.03	388507.14	
1100000013083567	15:26:33	31096736	15:26:33	HDFC LTD-INE001A01036	B	250	1554	0.0286	1554.03	388507.14	
1100000013083567	15:26:33	31096738	15:26:33	HDFC LTD-INE001A01036	B	200	1554	0.0286	1554.03	310805.71	
				<b>Sub Total</b>		<b>700</b>				<b>1087819.99</b>	
1100000013040783	15:24:35	31060354	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	12	391.5	0.0067	391.49	-4697.92	
1100000013040783	15:24:35	31060355	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	5	391.5	0.0060	391.49	-1957.47	
1100000013040783	15:24:35	31060356	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	200	391.5	0.0067	391.49	-78298.67	
1100000013040783	15:24:35	31060357	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	10	391.5	0.0070	391.49	-3914.93	
1100000013040783	15:24:35	31060358	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	172	391.5	0.0067	391.49	-67336.85	
1100000013040783	15:24:35	31060353	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	800	391.5	0.0067	391.49	-313194.67	
1100000013040783	15:24:35	31060352	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	10	391.5	0.0070	391.49	-3914.93	
1100000013040783	15:24:35	31060351	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	35	391.5	0.0066	391.49	-13702.27	
1100000013040783	15:24:35	31060349	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	1456	391.5	0.0067	391.49	-570014.29	
1100000013040783	15:24:35	31060350	15:24:35	INDUSIND BANK LIMITED-INE095A01012	S	300	391.5	0.0067	391.49	-117448.00	
				<b>Sub Total</b>		<b>3000</b>				<b>-1174480.00</b>	

	NCL EQUITY	NCL F&O	NCL CDX	TOTAL (Net)
PAY IN/ PAY OUT OBLIGATION(Rs.)	-86660.01	0.00	0.00	-86660.01

Taxable value of supply (Brokerage(Rs.))- A	39.99	0.00	0.00	39.99
Taxable value of supply (Exchange Transaction Charges(Rs.))-B	64.48	0.00	0.00	64.48
Taxable value of supply (SEBI turnover Fees(Rs.))-C	2.25	0.00	0.00	2.25
Total Taxable Value of Supply(D)=A+B+C	106.72	0.00	0.00	106.72
CGST Rate (%)**	9.00	0.00	0.00	
CGST Amount(Rs.)	9.62	0.00	0.00	9.62
SGST Rate (%)**	9.00	0.00	0.00	
SGST Amount(Rs.)	9.62	0.00	0.00	9.62
IGST Rate (%)**	0.00	0.00	0.00	
IGST Amount(Rs.)	0.00	0.00	0.00	0.00
UTGST Rate (%)**	0.00	0.00	0.00	
UTGST Amount(Rs.)	0.00	0.00	0.00	0.00
Cess Rate (%)**	0.00	0.00	0.00	
Cess Amount(Rs.)	0.00	0.00	0.00	0.00
Securities Transaction Tax (Rs.)	2262.00	0.00	0.00	2262.00
Stamp Duty(Rs.)	67.94	0.00	0.00	67.94
<b>Net amount receivable by Client / payable by Client(Rs.)</b>	<b>-84244.10</b>	<b>0.00</b>	<b>0.00</b>	<b>-84244.10</b>

- 1.Positive Values indicate Payable by client. Negative Values indicate Receivable by client.
- 2.In case of Derivative Segment, the figure of PAY IN/ PAY OUT OBLIGATION includes details for today trade (s) only.
- 3.Details of trade-wise levies shall be provided on request.
- 4.\* Trades were executed due to non - compliance by the client towards margin call.
- 5.\*\* CGST:-Central GST; SGST: - State GST; IGST:-Integrated GST; UTGST: - Union Territory GST.
- 6.NCL is NSE Clearing Limited and it is designated clearing corporation for Axis Securities Limited for clearing of trades executed on NSE and BSE.

Transactions mentioned in this contract note cum tax invoice shall be governed and subject to the Rules, Bye-laws and Regulations and Circulars of the respective Exchanges on which trades have been executed and Securities and Exchange Board of India from time to time.It shall also be subject to the relevant Acts,Rules,Regulations,Directives,Notifications,Guidelines(including GST Laws) & 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 Exchanges website. Please visit [www.bseindia.com](http://www.bseindia.com) for BSE, [www.msei.in](http://www.msei.in) for MSEI, [www.nseindia.com](http://www.nseindia.com) for NSE.

As per Regulation 19(1) of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) which states that no person shall, directly or indirectly, acquire or hold equity shares of a recognised Stock Exchange or recognised Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations.

Regulations 19 and Regulations 20 as prescribed by Board (SEBI) are reproduced below:

#### **Eligibility for acquiring or holding shares.**

19.(1) No person shall, directly or indirectly, acquire or hold equity shares of a recognised stock exchange or recognised 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 (3) 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.

**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 decision on such question shall be final.

**As per Regulations 6(B) of SEBI (Depositories and Participants) Regulations, 1996,**

- (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

**As per Regulation 7 of SCHEDULE II SEBI (INTERMEDIARIES) REGULATIONS, 2008,**

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

Place: Mumbai

Date : 07-Apr-2020

PAN : AABCE6263F; GSTIN No.: 29AABCE6263F1ZM

CIN : U74992MH2006PLC163204

Description of service: Brokerage and related securities and commodities services including commodity exchange services

Service Account Code: 997152

Yours faithfully,

For AXIS SECURITIES LIMITED

Authorized Signatories

Arun Thukral/Anand Shaha/Gitesh

Samant/S.Sawant/A.Shaikh/M.Yadav/J.Vyas/N.Rai/D.Joshi