



Goldmine Stocks Pvt Ltd

With your investments all the way...

"GOLDMINE HOUSE", 4, Niranjani Nirakar Society, Near Shreyas Railway Crossing, Ahmedabad - 380 007.

Tel. +91 79 2664 1080 • Fax : +91 79 2660 7298

NSE SEBI REGN. NO. : INB 230884633 • BSE SEBI REGN NO. : INB 010884634

www.goldmine.co.in

Subbroker Manual



Contact Detail of Head Office

+91 79 30088212 Server & Admin (Limits & Exposures) and
+91 79 26607292 any sort of Query (Share release etc)
+91 79 26601021
+91 79 30002287

+91 79 30088206 Accounts
+91 79 30088200

+91 79 30088205 F&O Margin

+91 79 30088203 Reception Counter
(All physical documents' delivery & receipt)

+91 79 30088587 New KYC Registration Department

+91 79 26641080 Trading Room (Head Office)
+91 79 30088201
+91 79 30088202

+91 79 26607287-88 Demat Section (DP)
+91 79 26607587-88
+91 79 30088210

+91 99252 26320 Technical / Connectivity Assistance
+91 98253 06320

+91 79 26607298 Fax (Head Office)

E mail Communication to Senior Management

krutika@goldmine.co.in DP In charge
anubhav@goldmine.co.in Technical / Connectivity Assistance
samir@goldmine.co.in Policy matters



Detail On FTP Server

We provide many details in file format through our ftp server. The updated list is put on ftp >> common\ODIN\F.T.P FILE LIST\LIST OF FTP FILES

You can download the following.

Branchwise bills, bill summary	brokerage sharing detail
stock lying with Goldmine as margin and/or hold securities	F&O Margin Scrip wise
Inter settlement effected by GOLDMINE	detail of clients whose fresh purchase limits are locked
Detail of pay out of securities that shows delivery and shortages	Securities hold in particular settlement due to non receipt of payment
Detail of shortage of securities in pay out, FAS data files	And much more ...

Go through the updated list on ftp.

Demat Transaction Charges

- Demat Section levies demat charges @ Rs 20/- per instruction for Off Market & Market transactions. Refer to Charge sheet of DP Section for other charges detail like AMC, DRF, RRF etc.
- Market transactions to GOLDMINE will be charged in bill @ Rs 15/- per transaction (service tax extra).
- In case of security release from margin account or hold due to non receipt of payment Demat Charge will be as follows.

If customer demat account with Goldmine	Nil
If customer demat account with other DP	Rs 25/- per entry
- In case of Inter Settlement

If customer demat account with Goldmine	Nil
If customer demat account with other DP	Rs 17/- per entry



Late Payment Charges

- We do not allow any debit facility.
- If the client is not making payment on time, we charge late payment charge @ 1.5 % p.m. from the date of pay in till the payment is received. This charge is debited on every Saturday for that week.
- In such case, it should not at all be understood that the any sort of funding is allowed.
- The client's positions shall be liquidated as per the policies and procedures of the company.

Futures & Options Segment Margin

- All the clients shall have to keep margin as per the exchange requirement.
- The detail of margin scrip wise, lot wise, percentage wise, per share wise etc is available on our website www.goldmine.co.in Scrip wise market log and last closing rate are also given in this file. The same file can be downloaded from ftp as shown in detail on ftp server section.
- The client has to pay cash margin and securities margin as per exchange requirement. The list of securities allowed for F & O Margin is available on ftp as shown in detail on ftp server section, on exchange website www.nseindia.com in circulars, our website www.goldmine.co.in and will be sent on screen by soft copy through our trading software Money Maker.
- Give request letter in our prescribed format while submitting securities as margin and in the same way submit the release request. If the securities are lying with us, the same shall be released on next working day. In case when securities are with the exchange, it shall be released in three working days. The formats are available on our website and ftp.
- In case there is any shortage in margin, the exchange levies penalty, which shall be borne by the client and the positions of the client, shall be liquidated in such cases.



Auto Pay In

Securities

- To avail this facility, the client shall have to execute the power of attorney for his demat account with Goldmine.
- Kindly confirm the trading date and settlement number from which the auto pay in facility is activated at our end.
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Funds

- If the client is having his bank account with HDFC Bank, he can avail facility of auto debit of pay in amount and auto credit of pay out amount directly to his bank account. The client needs to give one time authorization to HDFC Bank for the same. You can get assistance for the same from our Accounts Department.
- In future, we plan to make such tie ups with other banks also. The same shall be communicated to you.

Query Mechanism

- Any request for share release from capital market, inter settlement requests, request for adjustment of shares sold, request to hold securities, dividend &/or bonus, shortage of delivery, request for transfer of shares/funds from CM to FO or FO to CM etc can be given over telephone on
- - +91 79 26607292
 - +91 79 30088212

You will be given a token number as your query registration and the same shall be resolved within stipulated time. You will have to inquire about the same only with your token number.



Operations Money Maker

Unique features of our Front Office Software Money Maker

Price View :

- ▶ Facility to freeze row and columns.
- ▶ LTP and trend color according to previous day's close.
- ▶ Columns adding, deleting, shifting etc made easy.
- ▶ Color selection for selection bar.
- ▶ Row height can be increased or decreased.
- ▶ Auto adjust of Price View in the available window.
- ▶ Corporate action information available in Price View in separate column.
- ▶ Facility to open a new price view for the scrips in the specific index. Means if you wish to make PriceView with all constituents of NIFTY, BANKNIFTY, CNX IT, CNX Midcap etc is possible.
- ▶ You can put as many reminders as you wish. (Tools/reminders) This is the most useful tool for giving highly personalized service to clients.

Example :

Scrip : XYZ Ltd CMP : 200/-

Client A wish to buy XYZ Ltd at 175/-

Put reminder by selecting Scrip as XYZ Ltd, Price Below 175/- and remarks that may remind you your conversation with the client. Whenever the price will touch below 175/- your screen will inform you.

Client B wish to Sell XYZ Ltd at 225/-

Put reminder by selecting Scrip as XYZ Ltd, Price Above 225/- and remarks that may remind you your conversation with the client. Whenever the price will touch above 225/- your screen will inform you.

(Disclaimer: This is special feature to help in serving the clients. The data of the reminders is stored in you local system only. GOLDMINE is not responsible for any error, non receipt of information through reminder option, which please note.)



Operations Money Maker

Order / Trade :

- Client name in order entry screen.
- MBP/Best 5 i.e. F5/F6 window can be opened automatically at the time of order entry /modification. (Tools/Preferences/Order > Select the option you want)
- Failed orders (Orders which you placed and rejected) in separate window. [Shift + F3 and also in F10 (Messages)]
- Order Book with trade book for specific order.
- If your order is out of DPR, it will show message at the time of order entry.
- Order history on double click on order or trade.
- BSE trade modification made easy- needs to be done only once for multiple trades of single order and net position also gets updated accordingly.
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- Others :
 - 52 week high low in MBP F5/F6 window.
 - User Details with Name and NNF and Segment with no of clients mapped. (Information/User Detail)
 - Re-login Time minimized.
 - Scrip Search on ISIN.
 - Scrip Search on Ex Date.
 - Money Maker Software installation and version update made easiest.
 - Scrip information with DPR and detail of Index in which the scrip is a constituent.
 - Refresh option available in MBP F5/F6 window.
 - Exposure details are available.
 - Facility to view external net position.
 - Bhavcopies of NSE BSE and F&O available online. (Tools/Download)
 - Scrip master download automatic and can also be downloaded online.(Toos/Download)
 - Persistent message. GOLDMINE will be able to put message to the users which will constantly keep scrolling on your screen.
 - NCFM certificate expiry notification in advance by 3 months on your screen.
 - Client's demat holding is available on the terminal. (Information/Client Holding)
 - Settlement Information is available on the main screen on Status Bar.
 - List of settlement can be downloaded.
 - Technical Graphs can be viewed. Right click on the scrip in Price View and select Chart or Historical Chart option.
 - Scrip help is available on F5/F9.
 - Facility to send file as message. Goldmine will be able to send softcopy of any communication through message. You will have to save that document on your desktop or anywhere in your system.
 - Facility to view top clients by turnover, MTM gain/loss etc. This will help you in your risk management.
 - You can find out in which Index the scrip belongs from Security Information (Shift+F7).



KYC (Client Registration)

- The form must be complete in all respect
- All the details/blanks must be filled up. Do not leave blank space. In case of blank space strike off the same. Detail of Investment experience, Financial Detail, Occupation detail in full must be filled up. If client is doing business, professional, service etc the detail of establishment or firm or company is to be shown in KYC.
- Take client signature at all the places having X mark in KYC form.
- Complete witness has to be there in agreement portion of KYC. Witness sign, name and full address are required.
- Give e mail id of the client if he has an email account. Insist for digital communication if the client has email account. In addition to email we can provide all communications in print format. This will serve the purpose of client to have physical print and reduce our burden of storage of acknowledgement of communication if he avails digital communication facility.
- Insist to take mobile number from the client. We can provide various value added services like trade confirmation, bill amount confirmation, ledger balance intimation, investment recommendation etc through SMS.
- Take signature of the client on KYC wherever any correction is made.
- The client must sign in presence of an employee of GOLDMINE.
- All the photocopies submitted along with the KYC must be verified with originals by an employee of GOLDMINE.

CTCL Terminal

- In case if you change your address of your office and wish to shift terminal allotted to you to the new premises, take prior permission from GOLDMINE. We have to intimate exchange immediately before shifting and SEBI for new address.
- The terminal allotted to you can not be operated by any other person than the person whom it is allotted. NCFM qualified personal as per the requirement must be present in your office to operate the terminal. This is a very serious issue which needs extra care and compliance.
- You must take care that NCFM qualified person's certificate does not get expired.



Change in Detail

- In case of any change in clients address, bank detail, demat detail, mobile number, email account or providing additional bank detail, demat detail etc fill up the form in prescribed format and take client's signature along with required proof. The format is available on ftp and our website www.goldmine.co.in (Download/formats)

Sign on One Document every year

- If the client wishes to give running account authorization, it has to be signed by the client every year.

No fresh exposure, if debit balance is there

The client will not be allowed fresh exposures if he does not make his payment good.

F & O Financial Data

As per SEBI requirement, we have to take client's financial detail every year. We can collect I.T. Return, Annual Accounts, Networth Certificate from Chartered Accountant, Salary Certificate/Salary Slip or any proof of having lien free asset in his name.

Notice Board

Place notice board showing detail of your address, contact number, contact person name and the detail of Goldmine in the prescribed format.

SEBI Certificate

Keep the SEBI Certificate you have received from SEBI duly laminated in your office in visible manner.

Advertisement

Do not make any advertisement before taking prior permission of the exchange. You can not issue handbills, newspaper advertisement, TV channel advertisement etc before permission of the exchange. Exchange takes charge for such approval which has to be borne by you.



Contract Note acknowledgement

Take signature of the client on daily basis on the counterfoil of the contract note as proof of delivery to him. If the family member does the transactions and collects contract note, take authority letter from the account holder for the same. You have to submit the acknowledgments duly signed by the client every week to the head office of GOLDMINE. This is mandatory compliance and attracts serious attention of yours.

Signed DIS/Cheque Book of Client not allowed

Do not keep signed DIS and/or Cheque book of the clients in your premises. We do not allow the same and at the same time it is very risky.

Dealing by Sub brokers

- You can not pass commission to any one.
- You can not deal with the clients directly.

Others

- Check the detail of today's transactions in FAS where you can see the detail of financial transactions of particular day. Confirm whether the cheque that you have sent is properly credited to the client's account.
- Take back up of orders and trades on daily basis.



Monthly Newsletter

This report is published in first week of every month. Broadly it gives idea on Current Events & Market Scenario, Current Macro Economic Scenario and Current Global Scenario along with long term investment recommendations and short term recommendations. The intimation of the same is given through SMS and terminals whenever the report is prepared. It is available in hardcopy from head office and on our website www.goldmine.co.in

Scrip Specific Research Report

Whenever we do a detailed research in a scrip and find investment opportunity, a Special Report is prepared for the scrip. The intimation of the same is given through SMS and terminals whenever the report is prepared. It is available in hardcopy from head office and on our website www.goldmine.co.in This recommendation is for medium to long term only.

Daily Newsletter

It contains market outlook, fund flows of FIIs, Mutual Funds etc on daily basis. In a nutshell, it keeps you in touch of the market continuously. You can get the same from ftp and by email.

Weekly Newsletter

It is issued on every Saturday. It contains following.

- Weekly Recommendations
- Market Outlook
- Policy Initiatives by Government of India, other regulators, world and politics
- Economy related news for India and World
- Company/Sector Specific News/Comments
- IPO Market
- Internal News
- Weekly Outlook
- F&O Outlook
- Model Portfolio

You can get the same from ftp and by email.



Minimum Configuration required for terminal

- At least a dual core CPU with 1 GB of RAM (32 Bit)
- 150 GB of HDD
- CD Rom Drive
- Windows XP with service pack 3 or Higher
- Dotnet Frameworks 3.5 sp 1
- MS office
- Mode of connectivity

Connectivity with Goldmine can be established in many ways

1. BSNL Land Line
2. Reliance Land Line(Wired)
3. Reliance MPLS Leased Line
4. Internet Connection of any ISP (min 256 kbps and preferably not in the MB plan)

Dos

- Always use licensed antivirus software
- Install only authenticated programs on the trading machine.
- Keep your password secret.
- Regularly upgrade your trading terminal for better performance
- Before doing any system process like format etc please inform Goldmine in advance.
- Use trading terminal only for the trading and back office purpose
- Keep your anti virus software updated
- Keep checking your internet usage frequently
- Give AMC for computers and other network devices to vender
- Before installing any new software on trading terminal please confirm with Goldmine (It is advisable not to do so)
- When any person comes for maintenance from your vender or Goldmine technical team, restart your computer and test all programs you use daily whether they are working normally or not before he leaves your office.

Don'ts

- Do not install dual OS on the system
- Do not allow any unauthorized person to access your trading terminal.
- Do not use any external devises like floppy, pen drive etc on trading terminal
- Avoid unnecessary formatting of trading terminal
- Do not use trading terminal for web surfing, emailing, music, movies, etc.
- Do not install any unnecessary programs on trading terminal
- Do not allow anybody to do his personal work on the trading terminal system.