



# StockHolding



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### # Online Services

StockHolding's website "www.stockholding.com" provides a host of value added features to its clients. End of Day (EOD) reports, intra-day statements and other time-critical settlement reports like Delivery Out and Pay Out receipt reports are made available to all registered clients through the website. Clients can access personalized portfolio tracker, which tracks changes in their portfolio valuation updated every hour. The corporate action tracker alerts client of the forthcoming corporate events relevant to their holdings. The clients can also make online bill payments and online trading in securities. Further, the website offers online market prices and various updated information on companies.

### # StockHolding Learning & Development Centre

StockHolding has set up a State-of-the-Art Training cum Education Centre at Mahape, Navi Mumbai, called StockHolding Learning and Development Centre (SLDC). It offers the best infrastructural facilities to provide training and education in the right ambience. SLDC has 24 well equipped residential rooms, 4 training halls with state of art facilities, 5 syndicate rooms for group discussions. Besides, it has an excellent Auditorium, Library, Wi-Fi and recreation facilities.



It also has a banquet / multi-purpose hall suitable for holding seminars, conferences, investor meets etc. The banquet / multi-purpose hall can accommodate around 200 participants in theater style or 100 participants in cluster style. A separate pantry is also available. A gymnasium is also set up for usage by training participants.

### # Accolades

- Citation and Medal from Smithsonian Institute, Washington D.C, U.S.A. for "Visionary and Innovative use of Technology in Finance, Banking and Insurance Industry". First South Asian Corporate to receive this.
- Computer Society of India Award for best IT usage in the Country.
- Our software processes have been assessed at SEI CMM Level 3.

### So, what makes us stand out as a differentiator? StockHolding - A cut above the rest!

- Pioneers in the field of custodial, depository participant and e-Stamping services.
- World-class technology with well-integrated paper and electronic systems.
- Highly qualified, experienced and dedicated professionals.
- Expertise in running processes utilizing digital signatures.
- In house capability to address all IT needs including multilevel security.
- Regular audits by both internal, external auditors & regulators ensuring compliance.
- Constant review & bench marking of processes, adherence to global best practices.
- Full confidentiality of business operations.

### Subsidiaries

#### 1. SHCIL Services Limited

SHCIL Services Ltd. (SSL) is a wholly owned subsidiary of StockHolding Corporation of India Limited and it is a SEBI registered corporate stock broker and a broking arm of StockHolding, providing safe and reliable services to all its retail and institutional clients across length and breadth of the country. Product and services offered by SSL are as follows:

- Broking Activities
  - Retail and Institutional.
  - Internet Trading.
  - Competitive Pricing.
- Sub Syndicate Member for IPO Bidding
- Sub Broking
  - One can join SSL as Subbroker / Remisier / Authorised Person on attractive terms and conditions.



#### 2. SHCIL Projects Limited

SHCIL Projects Limited (SPL) is a wholly owned subsidiary of Stock Holding Corporation of India Limited (StockHolding) and has been incorporated with the objectives

- To provide End to End Document Management Solutions
- To provide Information Technology Enabled Services (IteS)

#### Credentials

- Microsoft Gold Certified Partner.
- ISO 9001:2008 Certified Organization.
- CMMI Level 3 Certified
- ISO Certificate for End to End Document Management Solution
  - ISO 15836:2009
  - ISO 15489:2009
  - ISO 20001:1-2011
  - ISO 14721:2012.

SPL is a Process Driven Company that has a proven expertise in providing Secure Storage Solutions for Physical Documents provided from 20 branch locations across India and has an edge over other competitors in related areas such as Document and Workflow Management Solution, Digitization Services, Record Management Solutions, Digital Repositories, DMS and workflow hosted services and also secure Document destruction services. The State of the art Automatic Robotic Document Handling and Storage Vaults at Mahape measures more than 1 Lakh square feet.

The company has managed scores of highly challenging projects for blue chip companies in Private as well as Public Sector.

## One source many possibilities



## Stock Holding Corporation of India Limited

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## Stock Holding Corporation of India Limited



# Stock Holding

## Our Mission

**“To be a world class 'technology driven' and 'client focussed' market leader in financial and technical services”**

### Introduction

Stock Holding Corporation of India Ltd. (Stock Holding) was incorporated as a Public Limited Company in 1986. Stock Holding is promoted by leading Financial Institutions and Insurance Majors such as Industrial Finance Corporation of India (IFCI), Specified Undertaking of Unit Trust of India (SU-UTI), Life Insurance Corporation of India (LIC), General Insurance Corporation (GIC), New India Assurance (NIA), National Insurance Company Limited (NICL), The Oriental Insurance Company Ltd (TOICL) and United India Insurance Company (UIC), all leaders in their respective fields of business. Stock Holding is a Government Company, being a subsidiary of IFCI. Stock Holding has Pan India network of close to 200 branches spread across more than 150 cities/towns. Stock Holding has positioned itself as one of the market leaders providing financial services over the last 26 years and holds Assets under Custody of ₹ 30 trillion, the largest in India. Stock Holding enjoys the trust of lakhs of customers given its institutional status and has a proven track record of Process, Operational and Service capabilities. Stock Holding provides Demat, Sub Broking, e-Stamping, Third Party Products distribution, Document Management System, Insurance Repository and Bullion Services. Stock Holding is also a Point of Presence (POP) for National Pension System (NPS).

### Our Values

- Safety & Efficiency of Operations is the hallmark of Stock Holding
- Building strong relationships
- To place our customers above all things
- Professionalism & Integrity
- Commitment to Quality irrespective of asset size

### 3. Derivatives

Stock Holding is a Professional Clearing Member and Custodian in the Derivative segment. Stock Holding has sophisticated in-house Back Office systems and procedures to cater to the needs of various entities in this segment in terms of clearing, settlement, collateral & risk management.

### 4. Third Party Products – Investment Products, Loans and NPS

Stock Holding distributes Mutual Funds, Fixed Deposits and Bonds of reputed Institutions & Corporates. It also distributes IPOs and provides Western Union Money Transfer services to its clientele. Stock Holding has tied up with leading banks and NBFCs to offer Loan against Securities, Home Loans, Educational Loans, Auto Loans, Personal Loans, Business Loans and Loan Against Properties. Stock Holding also offers National Pension System (NPS) through its Pan-India branch network.

### 5. Distribution of Bullion

Stock Holding offers gold and silver coins and gold sovereigns of multiple denominations in tie-up with MPMC-PAMP India Pvt. Ltd., India's first and only internationally (London Bullion Market Association – LBMA) accredited Good Delivery Refinery for Gold and Silver. This tie-up provides the consumer with the finest quality products manufactured to exacting international standards, created with complete transparency, assurance and hallmarks synonymous with world-class quality.

### 6. Goldrush

Goldrush is a Gold accumulation plan which enables customers to buy and accumulate pure gold in a fair and transparent manner for a value of as low as ₹ 1000. Under the plan, the customer has complete discretion as regards to the amount of purchase, its frequency and time line for taking delivery of gold. The gold purchased for the customers are set aside in an allocated enclosure with full insurance cover and security. Customers can accumulate gold without worrying about safe keeping of the metal.

### 7. Government of India Bonds

These Bonds are held in dematerialized form in an account called Bond Ledger Account (BLA). RBI has designated Stock Holding as one of the Agency Banks for Investors to open Bond Ledger Accounts and hold GOI Bonds. These Bonds being sovereign in nature are absolutely safe and an attractive investment option in volatile market situation.

### 8. Western Union Money Transfer

Western Union Money Transfer operates in India through its agent Weizman Forex Ltd. Stock Holding works as a sub-representative of Weizman Forex Ltd.



### Products and Services:

#### Retail Segment

Depository services, sub-broking services, distribution of wide range of financial products and auxiliary services are offered to clients in the retail segment.

#### 1. Depository Services

Since 1998, Stock Holding has been extending Depository related services to the Retail and Corporate customers on both NSDL and CDSL. Stock Holding is also empanelled as a Comtrack Participant with National Commodity and Derivatives Exchange (NCDEX) to hold commodities in dematerialised form.

#### 2. Sub - Broking Services

Stock Holding offers sub-broking services in Cash and Derivatives segments through its subsidiary - SHCIL Services Ltd. (SSL). It is known for providing speedy, safe, reliable and affordable broking services to Retail, HNI and Corporate clients. Online broking and broking through mobile phones is also available.



# Stock Holding

### 9. e-Stamping

The Corporation has been authorised by the Ministry of Finance, Government of India to act as a Central Record-keeping Agency (CRA) to design and implement an electronic method of stamp duty collection. e-Stamping is a web-based solution for payment and collection of non-judicial stamp duty. Stock Holding is the sole CRA for e-Stamping in India. Stock Holding has implemented e-Stamping system in 18 States and Union Territories in India. Stock Holding is in discussion with other State Governments.



In its constant effort to add and enhance value to e-Stamping, Stock Holding has implemented e-Court fee collection system and e-Registration fee collection system for collection of Judicial Stamp Duty and Registration Fees respectively. e-Court fee collection system has been implemented in the state of NCT Delhi, while the e-Registration fee collection system has been implemented in the states of Rajasthan, Himachal Pradesh and NCT Delhi.

### 10. Insurance Repository

Stock Holding's subsidiary SHCIL Projects Ltd. (SPL) is approved by IRDA as an Insurance Repository (IR).

- Stock Holding as an Approved Person (AP) with SHCIL Projects Ltd, provides e-Insurance Account services
- All types of insurance policies can be held in paperless mode in a single electronic Insurance Account (eIA)
- e-IA can be opened free of cost
- One time KYC compliance entails hassle free and timely issuance of fresh policies
- eIA eradicates multiple communications to various Insurers for updates and service requests.

### 11. Investment Advisory Services

The Services provided by Stock Holding include Market Insight, covering overview of all markets, comprehensive Newsletter covering the daily news, Intraday Calls and Mutual Fund reports. Stock Holding brings out an analysis of quarterly results of select top companies and a "Smart Investor Guide" with useful insights on various sectors, companies and Mutual Funds. Further, a journal on Mutual Fund titled as "M.F. Guide to Gain" is released every month. Monthly Reports on NPS with returns of all Pension Fund Managers is also published.

### Institutional Segment

#### 1. Custodial Services

Stock Holding is a trusted custodian for Institutional clients across the financial services industry. Stock Holding, as the largest Custodian in India accounts for maximum market share. Stock Holding is a technologically driven entity with the deepest pool of local market expertise. Stock Holding provides custodial services for all types of financial instruments like Equity, Debt, CP, CD, Pass Through Certificates, Government Securities etc. The Custodial services include Clearing and settlement, Collateral management, Electronic and physical safe keeping, Corporate actions, Valuation of Securities and Fund Accounting, Securities Lending and Borrowing.

Stock Holding holds a 'No Action Letter' under SEC. 17 f(5) of US SEC Regulations enabling it to offer custody services to US based funds. To Foreign Portfolio Investors (FPI), Stock Holding provides custodian services comprised of most diverse, innovative and flexible solutions, in the FPI time zone and at a competitive pricing.

### Product offering to diverse clients

**Client Type:** Cross Border Clients

**Client Segment:** Foreign Portfolio Investors (FPIs), Foreign Direct Investments, Global Custodians, Foreign Private Equity Investors, Foreign Venture Capital Funds.

**Product Offered:** Custodial Services (including FPI Registration Services and Securities Escrow services)

**Client Type:** Domestic Clients

**Client Segment:** Large Financial Institutions, Insurance Companies, Mutual Funds, Banks, Retiral Funds (ie. Pension, provident, gratuity, superannuation funds), Pension Funds regulated by PFRDA, Venture Capital Funds, Real Estate Funds, Infrastructure debt funds, Alternate Investment Funds, Portfolio Managers, Corporates, Family Offices etc.

**Product Offered:** Custodial Services and Fund Accounting

The features of the Custodial Service Offerings to both Domestic and Cross border clients include a dedicated Client Service Officer, Unmatched flexibility in Banking services, Electronic messaging system, Web enabled access, Ability to accept instructions on email and fax, Unmatched operations support to address contingencies, Market advocacy and best practices, Client support in their time zones, Unmatched client-centric monthly MIS. Since each client's requirement is unique and different, Stock Holding provides highly customized, innovative and flexible solutions for maximizing value for its clients.



#### 2. CSGL

A Constituent Subsidiary General Ledger (CSGL) is an account maintained by Stock Holding with RBI on behalf of its constituents wherein government securities are held in a book entry form. Stock Holding offers CSGL services to Corporates, Co-operative Banks, Provident Funds, Superannuation Funds, Gratuity Funds, Non-Banking Finance Companies etc. Our services comprise of purchase and sale of government securities, custody, participation in bidding, value free transfers, benefits and redemptions collection, providing various reports periodically, such as forecast of benefits and redemptions, actual receipts etc.

#### 3. Pension Fund Administration

Stock Holding offers Pension Fund Administration Services to Pension Fund Trusts managing a "Defined Benefit" or a "Defined Contribution" pension scheme. Stock Holding offers an array of related services that include design, development and maintenance of a customised Pension Fund Software, Pension Fund Operations and Accounting, Custodial, Depository and Constituent SGL services for investments made by the Pension Fund Trust.

#### # Information Technology

Stock Holding works in a highly computerized environment. Stock Holding has in house capability to address all Information Technology (IT) requirements in terms of software development and maintenance, back office processing, database administration and networking requirements. IT being the key to success of our operations, Stock Holding has made significant investments in State of the Art technologies to facilitate the business and to minimize the risk from automated operations. Stock Holding has a Tier III+ Data Center with contemporary and latest technology. This "Center and its Operations" is ISO/IEC 27001:2005 certified.