

## A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/Others	MICR No.	IFSC code

## B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

## C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE		
All Segments	Cash	F&O*	Currency*
Signature			
If you do not wish to trade in any of the segments, please mention here: <input type="text"/>			

\*Orders on BSE will be executed manually and not via algorithms.

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

## D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/ constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

## E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name:  SEBI Registration number:

Registered office address:

City/Town/Village

Pin Code:       State  Country

Tel.  Fax No.

Website

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker:  Name of Sub-Broker, if any :

Client Code :  Exchange :

Details of disputes/dues pending from/to such stock broker/sub- broker

## F. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):

Specify your Email id, if applicable:

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):

Number of years of Investment/Trading Experience:

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:

If space is insufficient, enclose the details separately (format enclosed)

Any other information:

### G. INTRODUCER DETAILS (optional)

Name of the Introducer :

Status of the Introducer :  Sub-broker  Remisier  Authorized Person  Existing Client  
 Others, please specify

Address and phone no. of the Introducer :

Signature of the Introducer :

### H. OTHER DETAILS

#### 1. Gross Annual Income Details (please specify):

Income Range per annum:

Below ₹ 1 Lac  ₹ 1-5 Lacs  ₹ 5-10 Lacs  ₹ 10-25Lacs  ₹ 25 Lacs - 1 crore  More than ₹ 1 crore

2 Net-worth ₹  Net-worth as on (date)          
(Net worth should not be older than 1 year)

#### 3. Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees /whole time directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

Not : Politically Exposed Person / Related to Politically Exposed Person.

If Yes Provide Details : of PEP

#### 4. Any other information

In case you wish to receive the email/ SMS notification from exchange on trades then please provide below details

( I give consent to give Mobile Number / E-mail ID of family member ('Family' for this purpose would mean self, spouse, dependent children and dependent parents.)

I authorize you to share my contact details with the Exchanges/Regulators in order to receive SMS/e-mail alerts/other communication from them. I would like to receive the following alerts from Exchange:

SMS :  Yes  No Mobile No. :  Email :  Yes  No E-mail ID:

#### 5. Mode of receipt of copies of standard documents viz. Rights and obligations documents for stock broker, sub-broker, beneficiary etc., Uniform Risk Disclosure Documents, Guidance note on Do's and Don'ts for trading on stock exchanges. Electronic Physical

### DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Signature of Client/ (all) Authorized Signatory (ies)

Date

Place

UCC Code allotted to the Client : 

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of the Authorised Signatory

Date :        Seal/Stamp of  
the stock broker

## INSTRUCTIONS/ CHECK LIST

## 1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.





