

MANDATORY



## NON INDIVIDUAL CLIENT REGISTRATION FORM

(This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or incase of express permission of clients.)

### CLIENT PROFILE

Name of the Company / Firm

Constitution ☐ Corporates ☐ Firms ☐ Others \_\_\_\_\_ (Please specify)

Unique ID No. (where obtained)

PAN No.

Registered Office Address

City

State

Pin

Country

Telephone

Mobile

Fax

Email

Address for Correspondence

City

State

Pin

Country

Telephone

Mobile

Fax

Email

Date of Incorporation/Formation

Date of Commencement of Business

Nature of Business

Registration No. (with ROC, SEBI or any other Govt. Authority)

### DETAILS OF PROMOTERS / PARTNERS / KARTA

(1) Name of Promoter / Partners / Karta

Residential Address

**DETAILS OF PROMOTERS / PARTNERS / KARTA (Contd. ....)**

(2) Name of Promoter / Partners / Karta

Residential Address

(3) Name of Promoter / Partners / Karta

Residential Address

In case of additional information please furnish the same in separate paper.

**DETAILS OF WHOLE TIME DIRECTORS**

(1) Name

Residential Address

(2) Name

Residential Address

(3) Name

Residential Address

(4) Name

Residential Address

(5) Name

Residential Address

In case of additional information please furnish the same in separate paper.

## CONTACT PERSON'S DETAILS

Names, Designation and residential address of persons authorized to deal in Securities / Derivatives / Debts / Currency on behalf of the company / firm / others.

(1) Name	
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Designation	
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Address \_\_\_\_\_

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Country

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Fax

Email

(2) Name \_\_\_\_\_

Designation	
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Address \_\_\_\_\_

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Country

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Fax

Email

In case of additional information please furnish the same in seperate paper.

BANK DETAILS

(through which transactions will generally be routed)

**Copy of a cancelled cheque leaf / pass book / bank statement containing name of the constituent should be enclosed.**

Bank Name		Branch	
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Bank Address	
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Bank Tel.  Account Type: ☐ Current ☐ Savings ☐ NRI ☐ \_\_\_\_\_

Bank Account No. 



 A/c. Opening Date

MICR Code

IFSC Code (For NEFT / RTGS)

## MAIN ACCOUNT

**BANK DETAILS (Contd. ....)**

Bank Name	<input type="text"/>	Branch	<input type="text"/>
Bank Address	<input type="text"/>		
Bank Tel.	<input type="text"/>	Account Type:	<input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRI <input type="checkbox"/> _____
Bank Account No.	<input type="text"/>	A/c. Opening Date	<input type="text"/>
MICR Code	<input type="text"/>	IFSC Code (For NEFT / RTGS)	<input type="text"/>

**CLIENT DP DETAILS**

(through which securities will generally be routed)

Copy of Client Master of DP Account to be enclosed.

<input checked="" type="checkbox"/> DP	CLIENT / B.O. ID	DP ID	DP NAME, ADD. & TEL. NO.
<input type="checkbox"/> CDSL	<input type="text"/>	<input type="text"/>	
<input type="checkbox"/> NSDL	<input type="text"/>	I N <input type="text"/>	
<input checked="" type="checkbox"/> DP	CLIENT / B.O. ID	DP ID	DP NAME, ADD. & TEL. NO.
<input type="checkbox"/> CDSL	<input type="text"/>	<input type="text"/>	
<input type="checkbox"/> NSDL	<input type="text"/>	I N <input type="text"/>	

Details of any action taken by SEBI/Stock exchange/any other authority during the last three years, against the constituent or its partners / promoters / whole time directors / authorized persons in charge of dealing in Securities / Derivatives / Debts / Currency for violation of securities laws/other economic offences.

In the last three years

Prior to that

**TRADING PREFERENCE**

Tick ☒ where applicable, Tick ☐ where not applicable.  
 (In case an exchange/segment combination is crossed off,  
 the same would be activated in the future only on a specific letter from the client.)

Each Segment	Cash	Derivatives	Debt Market	Mutual Fund	Currency	Invest Rate Futures	Securities Lending & Borrowing
BSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

 Client's Signature

**INVESTMENT / TRADING EXPERIENCE**

<input type="checkbox"/> No Prior Experience	<input type="text"/> <input type="text"/> Years in Stocks	<input type="text"/> <input type="text"/> Years in Derivatives
<input type="text"/> <input type="text"/> Years in other Securities	<input type="text"/> <input type="text"/> Years in Currency Futures	<input type="text"/> <input type="text"/> Years in other investment related fields

**FINANCIAL DETAILS****ANNUAL INCOME RANGE**


(Tick ☒ where applicable,  
Tick ☐ where not applicable)

Below Rs. 1,00,000 ..... ☐Rs. 1,00,001 to Rs. 5,00,000 ..... ☐Rs. 5,00,001 To Rs.10,00,000 ..... ☐Rs. 10,00,001 To Rs. 25,00,000 ..... ☐Above Rs. 25,00,001 ..... ☐**REGISTRATION WITH OTHER BROKERS**

BROKER	EXCHANGE	CLIENT CODE
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

**DECLARATION**

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.

Name <input type="text"/>	 <b>Client's Signature (With Company Seal)</b>
Place <input type="text"/> Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	

Witness Name Address 

<input type="text"/>	Sign of Witness <input type="text"/>
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**INTRODUCER DETAILS**

The details furnished by Me / Applicant is true to the best of My / Our knowledge and belief. In case if any of the above information is found to be false or untrue then I am to be held liable for it.

<input type="text"/>	<input type="text"/>	<input type="text"/>
Name	Middle Name	Last Name

<input type="text"/>
Address of introducer

<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>
City	State	Pin	Country

<input type="text"/>	<input type="text"/>	<input type="text"/>
Telephone	Mobile	Fax

**INTRODUCER DETAILS (Contd. ....)**Email Relation with Applicants  Unique ID No. (where obtained) PAN No.  UCC of Introducer (if registered with The Trading Member) Introducer's Signature For proof of photo identity of Introducer's ☐ PAN (Mandatory)For Address proof (any one of following) Tick ☒ where applicable, Tick ☐ where not applicable.☐ Passport ☐ Voter ID ☐ Driving Licence**DOCUMENTARY REQUIREMENTS****Copies of the following documents may be obtained after due verification with the originals thereof**

1. Copies of the balance sheet and Networth Certificate for the last 2 financial years (copies of annual balance sheet and Networth Certificate to be submitted every year)
2. Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the company secretary/Whole-time director/MD. (copy of updated shareholding pattern to be submitted every year).
3. Copies of the Memorandum and Articles of Association in case of a company/body incorporate/partnership deed in case of a partnership firm.
4. Copy of the Resolution of board of directors' approving participation in Equity / Derivatives / Debt / Currency trading and naming authorized persons for dealing in Securities / Derivatives.
5. Photographs of Partners / Whole time directors, individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorized to deal in Securities / Derivatives.

**FOR OFFICE USE ONLY**

Name & Designation of Employee who interviewed the client	Sign. and Date
I Confirm that, I have personally verified the identity of client and documents. Mr./Mrs./Ms.: _____ Unique Client Code allotted <input type="text"/>	Sign. and Date

**MANDATORY**

Affix recent  
Photograph of  
Director / Partner /  
Authorised  
Signatory/ Trustee /  
Karta Sign Across  
the Photograph.

X

**ANNEXURE**

(Personal Details of all Directors / Partners / Authorised Signatory / Trustees / Karta)  
In connection with the client registration application submitted to you by

of which I am a Director / Partner / Authorised Signatory / Trustees / Karta

I furnish you the following Personal details relating to me:

Name

Residence Address

City

State

Pin

Country

Telephone

Mobile

Fax

Email

Sex

☐

Male

☐

Female

Date of Birth

Marital Status

☐

Married

☐

Unmarried

Unique ID No. (where obtained)

Designation

PAN No.

Education Qualifications

Occupation

Experience

Equity Stake, Share or other interest in the Company / Firm

**BANK DETAILS**

Copy of a cancelled cheque leaf / pass book / bank statement containing name of the constituent should be enclosed.

Bank Name  Branch

Bank Address

Bank Tel.  Account Type: ☐ Current ☐ Savings ☐ NRI ☐ \_\_\_\_\_

Bank Account No.  A/c. Opening Date

MICR Code  IFSC Code (For NEFT / RTGS)

**REGISTRATION WITH OTHER BROKERS**

BROKER	EXCHANGE	MEMBER CODE	CLIENT CODE
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**INVESTMENT / TRADING EXPERIENCE**

☐ No Prior Experience
  Years in Stocks
  Years in Derivatives  
 Years in other Securities
  Years in Currency Futures
  Years in other investment related fields

The Information above is true to the best of my knowledge and belief, and I undertake to immediately keep you informed in writing of any changes therein. I also declare and agree that if any of the above statement are found to be incorrect or false or any information or particulars have been suppressed or omitted therefrom, the above mentioned company / firm /

and I would be liable to be debarred from doing business in the Cash / Derivatives / Debt / Currency segment. I also agree to furnish such further information as the member or the exchange may require from me and I agree that fail to give such information, the Member shall have the right to cancel the above mentioned company / firm

\_\_\_\_\_ 's  
registration and exchange shall have the right to debar the above mentioned company / firm /

\_\_\_\_\_ and  
me from doing business in the Cash / Derivatives / Debt / Currency segment.

Date

 Signature

**Enclosure:**

1. PAN of the Director / Partner / Authorised Signatory / Trustee / Karta
2. Copy of any one of the following proof of identity. Passport / Driving License / Voter's ID
3. Copy of any one of the following proof of Address: Passport / Driving License / Voter's ID / Ration Card / Electric Bill / Telephone Bill / Insurance Policy