Name: ____

CHECKLIST FOR INDIVIDUAL CLIENTS (MANDATORY)

1) Photograph duly signed across
2) Landline Telephone No. (with STD Code),Mobile No And Email Id req.
3) Please tick occupation any one and give brief details.
4) Self attested copy of PAN card is mandatory.
5) If any proof of identity or address is in a foreign language, then translation into English is required.
6) Whether Registered with any other broker (in case dealing with multiple stock brokers provide details of all)
7) Introducer's Sign & Address (along with Sub Broker PAN & SEBI Regn. No.)
8) Name & Address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
9) If correspondence & permanent address are different, then proofs for both have to be submitted.
10) Sole proprietor must make the application in his individual name & capacity.
11) Personal Details (Date of Birth, Gender, Education. Qualification, Occupation, Marital Status, and Nationality) should be filled properly.
12) Bank Account Statement /Passbook – Not more than 3 months old.
13) Please sign in the trading preferences column(where you wish to trade)
14) Demat account detail Req with proof
15) Gross Annual Income Details/Net-worth.
16) The IPV officer should do Proper In Person Verification

Enclosures (self attested):-

1. Xerox Copy of Pan Card (both sides.)
2. Residential Address proof (Passport / Driving License / Voter ID Card / Ration Card/ Bank passbook / Electricity Bill / (landline) Telephone Bill / Flat Maintenance Bill / Flat Maintenance bill/Insurance copy/Registered Lease or Sale Agreement of Residence.
3. Correspondence address proof req. if details given
4. UCC detail/Photo Identity proof (Copy of PAN Card, driving license, Voter Id, UID.
5. Current year IT return statement & Balance sheet required
6. Additional documents in case of trading in Derivatives Segments.
   1 Copy of ITR Acknowledgment, In case of salary income- Slip, copy of Form 16, Net worth certificate, bank account statement for last 6 month, Copy of Annual Accounts, Copy of Demat account holding statement.

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CHECKED BY

Remarks: Code: ___________ Name: ______________________________

CHECKLIST FOR NON-INDIVIDUAL CLIENTS (MANDATORY)

1) Name, Registered Address, Correspondence Address, Tel No, Fax No. etc (Proof of established)
2) Investor type details.
3) Date of Incorporation / Commencement of Business/ Registration details/status
4) Latest Bank Account Statement
5) Income tax no. (PAN) (Of Company / Firm / Karta) and of individual req.
6) Demate account details by name of client based on category of client req.
7) Whether regd. with any other broker or not (if yes then details of the same)
8) Details of all Directors / Partners / Parceners (for HUF)
9) Details of Whole time Director (for corporate)
10) Name and address details of person authorized to do trade req.
11) Investment / Trading Experience details req.
12) Trading preference
13) Introducer's detail (along with Sub Broker & Registration No.)
14) Annexure (Personal details of directors/ partners/ Parceners of HUF) along with photographs signed across (at least one other than client)
15) List of Director on letter head of company / firm (Form 32 in case of death/ retirement or new appointment of Director if different from memorandum)
16) Witness Signature with name of signatory req. (Same person should not be witness for client & sub-broker in the Agreement)
17) Proper In Person Verification by IPV officer req.
18) Authorized Directors/Partners/Karta with seal should attest all proofs.

Enclosures (attested by Director/ Partner/Karta)

a) Certificate of Commencement of Business, Certificate of Incorporation, Memorandum & Articles of Association (in case of body corporate) or Partnership Deed (in case of partnership firm) or other constitutional documents as the case may be
b) Copy of PAN card of corporate / partners / directors / karta of HUF duly authenticated. And of individual also (both Side)
c) Copy of Balance Sheet and IT Returns Statement for last 2 years (to be submitted every year)
d) Declaration in case of partnership firm in specified format on letterhead (Preferable as per sample enclosed)
e) Copy of Bank Pass Book (with last four month statement)
f) Proof of Demate Account (Latest)(client must be first holder)
g) Board Resolution in case of corporate / trust in specified format on company/firm letterhead (Preferable as per sample enclosed)
h) Latest Share holding pattern and List of directors on letterhead (in case of company)
i) Residential address / registered address proof req.(Bank passbook / Electricity Bill / (landline) Telephone Bill / Bank Passbook (by the name of client.)

j) Correspondence address details proof req. (if details given).
k) Form 32 with receipt
l) Form 18 incase of address change of Company.

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CHECKED BY

Remarks:

Code: ___________ Name: ______________________________

CHECKLIST FOR NRI CLIENT'S (MANDATORY)

1 PHOTO ON 1ST PAGE SIGN ACROSS.

2 PAN CARD XEROX COPY REQUIRED BOTH SIDES

3 BANK PROOF COPY WITH LATEST STATEMENT (LAST TWO MONTHS).

4 ADDRESS PROOF REQUIRED (LOCAL & FOREIGN)

5 DP PROOF REQUIRED.

6 ALL DOCUMENTS SHOULD BE SELF-ATTESTED BY ACCOUNT HOLDER.

CHECKLIST FOR NRI'S (Additional Requirements)

1 PIS Permission Letter from the respective designated bank

2 Residential address Proof of both the Places (DOMESTIC/FOREIGN)

3 If dealing with any other broker Name of Broker & Terminal code required.

4 In case of 'In-person' verification of non-residents, the members should Obtain from such clients KYC documents attested by any one of the following Entities - Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides. ON KYC FORM.

4\. In case of Indian passport - Valid passport, Place of birth as India, Valid Visa – Work/Student/employment/resident permit etc.

5\. In case of foreign passport : Valid passport and any of the following
- Place of Birth as India in foreign passport
- Copy of PIO / OCI Card as applicable in case of PIO/OCI

6\. Pan card

7\. Proof of respective bank accounts & depository accounts

8. An NRI, who wishes to trade on the F&O segment of the exchange, is required to approach the exchange through a clearing member, through whom the NRI would like to clear his trades for allotment of custodial participant (CP) code.

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CHECKED BY

Remarks: