



CLIENT REGISTRATION FORM

Name _____

PAN No.

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DP a/c no.

1	2	0	2	3	0	0	0								
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Client code _____ Branch _____

Dealer Name _____ Brokerage Scheme _____

Ref No. / Sr. No. _____ RM Name/Code _____



Emkay Global Financial Services Limited

-: Member :-

Bombay Stock Exchange Limited | National Stock Exchange of India Limited

Metropolitan Stock Exchange of India Limited | Multi Commodity Exchange of India Limited

National Commodity and Derivatives Exchange Limited

Depository Participant: CDSL

www.emkayglobal.com

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/ PIO Card/ OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

*(*Documents having an expiry date should be valid on the date of submission.)*

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook — Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

*(*Sufficient documentary evidence in support of such claims to be collected.)*

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.

2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segment - 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 C o d e 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.

Instructions to the Applicants (BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

Notes: Below mentioned Symbols denote various signatures approximately		
	Client -1 st Holder	- 21 Signature
	2 nd Holder	- 16 Signature (In case of Joint Account)
	3 rd Holder	- 14 Signature (In case of Joint Account)
	Non-Individual	- 19 Signature
	Witness	- 1 Signature
	Emkay authorized	- 8 Signature
	Introducer	- 1 Signature
	Sub-Broker	- 1 Signature

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Sr. No.	Name of the Document	Brief Significance of the Document	Pg. No.
MANDATORY FORM AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist (To be filled by customer) B. Document captures the additional information for Trading and Demat Account along with Terms and Conditions receiving SMS alert form CDSL.	1 - 22
	FATCA - CRS declaration	C. The information to be provided in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962	
2.	Tariff Sheet	Document detailing the demat fee schedule & rate/amount of brokerage charges levied on the client for trading on the stock exchange(s).	23
VOLUNTARY FORM AS PROVIDED BY THE STOCK BROKER			
3.	Application for SMS alert for all DP Transactions	Application by client to receive the SMS alerts for various transactions in his DP Account	24-25
4.	Option Form For Issue of DIS Booklet	Option provided to Client for issue of DIS Booklet	26
5.	Declaration	Receipt & read of Rights & Obligation, Guidance Note, RDD, Policies & Procedure & PMLA	27
6.	Consent to receive trade/transaction alerts from exchanges.	A facility provided by Exchanges to receive Trade/Transaction alerts through e-mail/sms.	28
7.	Consent to receive the Contract Note trade confirmations and DP transaction cum holding statement by e-mail	A mandatory by the client to receive Contract Notes, trade confirmations and DP transaction cum holding statement in electronic form instead of physical form.	29
8.	Authority to retain securities and funds	An authority given by the client to member to hold his securities and funds payout beyond statutory time limit for operational convenience.	30
9.	Request & Authority for Placement of Securities Collateral & Withdrawal	An authority given by the client to member to hold his securities as Collateral	31
10.	Electronic Contract Note (ECN) - Declaration	Electronic Contract Note (ECN) - Declaration	32
11.	MITC	Most Important Terms and Conditions (MITC)	33
12.	DDPI	Demat Debit and Pledge Instructions (DDPI)	
MANDATORY DOCUMENT AS PRESCRIBED BY SEBI & EXCHANGES			
13.	Rights and Obligations of Beneficial Owner and Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	1 - 3
14.	Rights and Obligations	Rights and Obligations of Stock Brokers, Sub-Brokers and Client as prescribed by SEBI and Stock Exchanges	4 - 10
15.	Risk Disclosure Document (RDD)	Document detailing Risks associated with dealing in the securities market.	11
16.	Guidance note	Do's and Don'ts for trading on exchange(s), for Investors	12 - 13
17.	Rights and Obligations	Rights and Obligations of Members, Authorized persons and clients (as prescribed by SEBI and Commodity Exchange)	14 - 21
18.	Annexure - 4 Guidance note	Do's and Don'ts for the clients	22 - 23
19.	Policies & Procedures	Policies and Procedures adopted by Emkay Global Financial Services Ltd.	24 - 26
20.	Information on prevention of money laundering act 2002, (PMLA)	Brief note on PMLA for Client Information	27
21.	Investor Charter	Investor Charter	28 - 32
22.	Policy and Process	Policy and Process towards facility for voluntary freezing/blocking of online access of the Trading account	33
23.	Simple Do's and Don'ts	Simple Do's and Don'ts	34
24.	DP Scheme and Charges	Document detailing the demat fee schedule & rate/amount of brokerage charges levied on the client for trading on the stock exchange(s).	35
25.	Investor Charter	Investor Charter	36-42

Note: Booklet 1 to be filled by client and returned to EMKAY. Booklet 2 to be read, understood and retained by the client for future reference. Kindly note that these additional clause(s)/ documentation(s) are voluntary and to facilitate any of the stock broker/ trading member and the client. The client need not executed this document if he/she does not wish to. The client has the right to terminate the document. The stock broker hereby discloses that it does client based business and proprietary trades as well.

DETAILS OF THE TRADING MEMBER

Name of Stock Broker / Trading Member/ Clearing Member	Emkay Global Financial Services Limited	
SEBI Registration No. and date	BSE	INZ000203933 Dt. Oct 01 2018
	NSE	
	MSEI	
	MCX	
	NCDEX	
	CDSL	IN-DP-60-2015
Registered office address	Address	7 th Floor, The Ruby, Senapati Bapat Marg, Dadar (West), Mumbai - 400 028.
	Phone	022 - 6612 1212
	Fax	022 - 6624 2410
	Website	www.emkayglobal.com
Correspondence office address	Address	Paragon Centre, C-06, Ground Floor, Pandurang Budhkar Marg, Worli, Mumbai – 400013.
	Phone	022 - 6617 5454 / 6629 9299
	Fax	022 - 6612 1299
	DP Fax	022 - 6617 5434
Details of Compliance officer	Name	Mr. Anil Chandrakant Jagtap
	Phone No.	022 - 6629 9172
	Email	anil.jagtap@emkayglobal.com/compliance@emkayglobal.com
Details of COO	Name	Mr. Rajesh Sharma
	Phone No.	022 - 6629 9299
	Email	grievance@emkayglobal.com

In case of any grievance / complaint against Emkay Global Financial Services Ltd :

- Please contact Compliance Officer of Stock Broker Operations Mr. Anil Jagtap and Compliance Officer of Depository Operations Mr. Bhavesh Shah on email-id **grievance@emkayglobal.com** and Phone No. 91-22-66299299.
- You may also approach COO, Mr. Rajesh Sharma on email id **grievance@emkayglobal.com** and Phone No. 91-22-66299299.
- If not satisfied with the response of the Stock Broker/ Depository Participant, you may contact the concerned Stock Exchange / Depository at the following

Regulator	Web Address	Contact No.	Web Address
BSE	www.bseindia.com	022-2272 8097	is@bseindia.com
NSE	www.nseindia.com	1800220058	ignse@nse.co.in
MSEI	www.msei.in	022-6112 9000	investorcomplaints@msei.in
MCX	www.mcxindia.com	022-6731 8888	grievance@mcxindia.com
NCDEX	www.ncdex.com	022-6640 6789	ig@ncdex.com

Regulator	Web Address	Contact No.	Web Address
CDSL	www.cdslindia.com	1800-21-09911	complaints@cdslindia.com

- You can also lodge your grievances with SEBI at <https://scores.gov.in/> For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.
- You may also lodge your Complaint / Grievance with scores directly. Kindly refer below process for filling Complaint / Grievance with scores.

Filing of complaints on SCORES – Easy & quick Scores Link - <https://scores.sebi.gov.in/>

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES:
 - i. Name, PAN, Address, Mobile Number, Email ID
- c. Benefits:
 - i. Effective communication
 - ii. Speedy redressal of the grievances”



Your success is our success

Know Your Client (KYC)**Application Form (For Individuals Only)**Please fill in **ENGLISH** and in **BLOCK LETTERS**C-KYC Number

Application No. :

Application Type*: ☐ New KYC ☐ Modification KYCKYC Mode*: ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric☐ Online KYC ☐ Offline EKYC ☐ Digilocker**First Holder****A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).

Name Father's / Spouse Name Mother Name Maiden Name (If any*) 2a. Gender ☐ Male ☐ Female ☐ Transgender 2b. Marital Status ☐ Single ☐ Married2c. Date of Birth 3. Nationality ☐ Indian ☐ Other (please specify) 4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident Indian ☐ Person of Indian Origin ☐ Foreign National (Passport Copy Mandatory for NRI's & Foreign Nationals)5. PAN Aadhaar No. if any: XXXX XXXX 6. Proof of Identity (POI) : ☐ PAN Card ☐ Others (please specify)

7. Proof of Identity submitted for PAN exempt cases Please tick (✓)

☐ UID (Aadhaar) XXXX XXXX ☐ Passport ☐ Votor ID ☐ Driving Licence ☐ NREGA Job Card ☐ NPR☐ Others (please see guideline 'D' overleaf) (any other document notified by Central Government)Identification No. **PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it

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B. Address Details (please see guidelines overleaf)

1. Address of Local / Correspondence

Line 1 Line 2 Line 3 City/Town/Village District Pin Code State Country Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

2. Permanent Address of Resident Applicant if different from B1 above OR Overseas Address (Mandatory) for Non-Resident Applicant

Line 1 Line 2 Line 3 City/Town/Village District Pin Code State Country **Proof of Address * (attested copy of any one POA to be submitted)**☐ UID (Aadhaar) XXXX XXXX ☐ Passport ☐ Votor ID ☐ Driving Licence ☐ Registered Lease/Sale Agreement of Residence☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill☐ NREGA Job Card ☐ NPR ☐ Others (please see guideline 'D' overleaf) (any other document notified by Central Government)Identification No. ☐ Others (Please specify) *Not more than 3 month old. **Validity/Expiry date of proof of address submitted**

3. Contact Details

E-mail Id Mobile Tel. (Off.) Tel. (Resi.) **DECLARATION**

I/We hereby declare that the KYC details furnished by me 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.

I/We hereby consent to receiving information from KRA/CKYC through SMS/Email on the above registered number/email address.

I am / We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validate against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purpose only.

Applicant e-SIGN**Applicant Wet Signature**

2a/21

2b/21

Place : Date : **FOR OFFICE USE ONLY****In-Person Verification (IPV) carried out by*****EMKAY GLOBAL FINANCIAL SERVICES LTD.**☐ Self Certified Document Copies received (Originals Verified)☐ True Copies of documents received (Attested)AMC /Intermediary Name : **Intermediary Details**IPV Date : Emp. Name Designation Signature 1/8Emp. Code Date:

INSTRUCTIONS/GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

2. EKYC OPT

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.



Your success is our success

Know Your Client (KYC)**Application Form (For Individuals Only)**Please fill in **ENGLISH** and in **BLOCK LETTERS**C-KYC Number

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Application No. :

Application Type*: ☐ New KYC ☐ Modification KYCKYC Mode*: ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric☐ Online KYC ☐ Offline EKYC ☐ Digilocker**Second Holder****A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).

Name _____

Father's / Spouse Name _____

Mother Name _____

Maiden Name (If any*) _____

2a. Gender ☐ Male ☐ Female ☐ Transgender 2b. Marital Status ☐ Single ☐ Married

2c. Date of Birth _____

3. Nationality ☐ Indian ☐ Other (please specify) _____4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident Indian ☐ Person of Indian Origin ☐ Foreign National (Passport Copy Mandatory for NRI's & Foreign Nationals)

5. PAN _____ Aadhaar No. if any: XXXX XXXX _____

6. Proof of Identity (POI) : ☐ PAN Card ☐ Others (please specify) _____

7. Proof of Identity submitted for PAN exempt cases Please tick (✓)

☐ UID (Aadhaar) XXXX XXXX ☐ Passport ☐ Votor ID ☐ Driving Licence ☐ NREGA Job Card ☐ NPR☐ Others _____ (please see guideline 'D' overleaf) (any other document notified by Central Government)

Identification No. _____

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

✓1/16

B. Address Details (please see guidelines overleaf)

1. Address of Local / Correspondence

Line 1 _____

Line 2 _____

Line 3 _____

City/Town/Village _____ District _____ Pin Code _____

State _____ Country _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

2. Permanent Address of Resident Applicant if different from B1 above OR Overseas Address (Mandatory) for Non-Resident Applicant

Line 1 _____

Line 2 _____

Line 3 _____

City/Town/Village _____ District _____ Pin Code _____

State _____ Country _____

Proof of Address * (attested copy of any one POA to be submitted)☐ UID (Aadhaar) XXXX XXXX ☐ Passport ☐ Votor ID ☐ Driving Licence ☐ Registered Lease/Sale Agreement of Residence☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill☐ NREGA Job Card ☐ NPR ☐ Others _____ (please see guideline 'D' overleaf) (any other document notified by Central Government)

Identification No. _____

☐ Others (Please specify) _____ *Not more than 3 month old. Validity/Expiry date of proof of address submitted

3. Contact Details

E-mail Id _____

Mobile _____

Tel. (Off.) _____

Tel. (Resi.) _____

DECLARATION

I/We hereby declare that the KYC details furnished by me 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.

I/We hereby consent to receiving information from KRA/CKYC through SMS/Email on the above registered number/email address.

I am / We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validate against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purpose only.

Applicant e-SIGN**Applicant Wet Signature**

✓2a/16

✓2b/16

Place : _____

Date : _____

FOR OFFICE USE ONLY

In-Person Verification (IPV) carried out by*	Intermediary Details
EMKAY GLOBAL FINANCIAL SERVICES LTD.	IPV Date : _____
<input type="checkbox"/> Self Certified Document Copies received (Originals Verified)	Emp. Name _____
<input type="checkbox"/> True Copies of documents received (Attested)	Designation _____ Emp. Code _____
AMC /Intermediary Name :	Signature _____ Date: _____

INSTRUCTIONS/GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

2. EKYC OPT

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.



Your success is our success

Know Your Client (KYC)

Application Form (For Non Individuals Only)

Please fill in **ENGLISH** and in **BLOCK LETTERS**

C-KYC Number

Application No. :

Application Type*: ☐ New KYC ☐ Modification KYC

KYC Mode*: ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric

☐ Online KYC ☐ Offline EKYC ☐ Digilocker

A. Identity Details (please see guidelines overleaf)

1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. please do not abbreviate the Name)

2. **Date of Incorporation** : _____ **Place of Incorporation** : _____

3. **Registration No. (e.g. CIN)** _____ **Date of commencement business** : _____

4. **Status** Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust/Charities/NGO's ☐ HUF ☐ FI ☐ FII ☐ AOP
☐ FPI Category I ☐ FPI Category II ☐ FPI Category III ☐ Bank ☐ Government Body ☐ Non - Government Organization ☐ Defence Establishment
☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please Specify) _____

5. **Permanent Account Number (PAN) (MANDATORY)** _____ **Please enclose a duly attested copy of your PAN Card**

B. Address Details (please see guidelines overleaf)

1. **Address of Correspondence**

Line 1 _____

Line 2 _____

City/Town/Village _____ District _____ Pin Code _____

State _____ Country _____

2. **Contact Details**

E-mail Id _____

Mobile _____

Tel. (Off.) _____ Tel. (Resi.) _____

3. **Proof of Address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank A/c Statement ☐ Registered Lease / Sale Agreement of Office Premises

☐ *Any other proof of address document (as listed overleaf) (please specify) _____

*Not more than 3 month old. **Validity/Expiry date of proof of address submitted**

4. **Registered Address (If different from above)**

Line 1 _____

Line 2 _____

City/Town/Village _____ District _____ Pin Code _____

State _____ Country _____

5. **Proof of Address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank A/c Statement ☐ Registered Lease / Sale Agreement of Office Premises

☐ *Any other proof of address document (as listed overleaf) (please specify) _____

*Not more than 3 month old. **Validity/Expiry date of proof of address submitted**

C. Other Details (please see guidelines overleaf)

1. **Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/Whole Time Directors**
(Please use the Annexure to fill in the details)

2. **Any other Information:**

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. I/We hereby consent to receiving information from KRA through SMS/Email on the above registered number / Email address.

Place : _____ Date : _____

**NAME & SIGNATURE (S)
OF AUTHORISED
PERSON(S)**

1/19

FOR OFFICE USE ONLY

EMKAY GLOBAL FINANCIAL SERVICES LTD.

☐ (Originals Verified) Self Certified Document Copies received
☐ (Attested) True Copies of documents received

Seal/Stamp of the intermediary should contain

Staff Name _____

Designation _____

Name of the Organization _____

Signature 3/8

Date _____

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/ PIO Card/ OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

- PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.

- Bank Account Statement/Passbook — Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)






- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> PAN of HUF. Deed of declaration of HUF/ List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

Name of Applicant _____ PAN of the Applicant : (_____)

Sr. No.	PAN	NAME	DIN (for Directors) / Aadhar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	PHOTOGRAPH
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 

Date :

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

Emkay
Your Success is our Success

 **Name & Signature of the Authorised Signatory(ies) with Stamp**

TRADING ACCOUNT RELATED DETAILS

DEPOSITORY ACCOUNT(S) DETAILS

Particulars	(1)	(2)	(3)
DP Name	Emkay Global Financial Services Ltd.		
DP Address	C-06, Paragon Centre, P. B. Marg, Worli, Mumbai - 400 013.		
DP ID	1 2 0 2 3 0 0 0		
Client ID			
2nd holder's Name			
3rd holder's Name			
Default A/c (Any One)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

- 1) Client name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form with sole holder or first holder as the case may be.
 2) DP statement should clearly show DP ID & Client ID.
 3) In case NRI's proof of Demat Account should be only with NRI status.

TRADING PREFERENCE

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

Exchanges	NSE, BSE & MSEI				MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F & O	Currency	Debt	Commodity Derivatives
	<input type="checkbox"/> 3a/21 <input type="checkbox"/> 3a/19	<input type="checkbox"/> 3b/21 <input type="checkbox"/> 3b/19	<input type="checkbox"/> 3c/21 <input type="checkbox"/> 3c/19	<input type="checkbox"/> 3d/21 <input type="checkbox"/> 3d/19	<input type="checkbox"/> 3e/21 <input type="checkbox"/> 3e/19

If you do not wish to trade in any of segments / Mutual Fund, please mention here _____

BROKERAGE DETAILS

Brokerage Scheme

Cash

Currency

F&O

Commodity

	Trading		Delivery		F & O Derivatives			Currency Derivatives		
	%	Min.	%	Min.	%	Min.	Per Lot	%	Min.	Per Lot
1st Leg										
2nd Leg										
	Commodity				Preferred ageing : T + _____					
	%	Min.	Per Lot							
1st Leg										
2nd Leg										

GST REGISTRATION (As applicable, State wise)

	SGST	CGST	IGST
State Registration No.			
Validity Date	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y
Name of the State			

GST DECLARATION**Declaration under the Central/State/UT/Integrated Goods and Services Tax Act, 2017**

- I/We....., do hereby declare that I/we am/are not registered under the Goods and Services Tax Act, 2017 as (please mention reason below)
.....
.....

- I/We....., do hereby declare that I/we am/are registered under the Goods and Services Tax Act, 2017 and have not disclosed the GST registration number as (please mention reason below)
.....
.....

I/We hereby also confirm that if anytime during any financial year I/we decide or require or become liable to register under the GST or wish to disclose the GST registration number, I/we undertake to provide all the requisite documents and information.

We also understand that quoting of any false information in this declaration shall render me/us liable for all applicable legal and penal consequences, for which I/we shall be solely responsible.

I/We hereby also confirm that the entity shall not be liable for any loss accrued to me/us, due to any registration default with the GST. Further, we hereby, declare that while making invoice payment, we will neither hold nor make any deductions, of any kind, on account of non availment of input tax credit.

Name of the Authorised Signatory:

Signature of Authorised Signatory:  4/19

Date:

Stamp/Seal of the business entity:

CLIENT PROFILE (As applicable, State wise)

Client Profile	Producer / Trader / Consumer / Other (please specify)_____
Interested in Commodities	<input type="checkbox"/> Agro Commodities <input type="checkbox"/> Precious Metals <input type="checkbox"/> Base Metals <input type="checkbox"/> All

ADDITIONAL DETAILS

Facilities For Trading	Whether you wish to avail the facility of <input type="checkbox"/> Nest Diet <input type="checkbox"/> E-Broking <input type="checkbox"/> Wireless technology (Mobile Trading)
Contract Note	Whether you wish to receive <input type="checkbox"/> Electronic Contract Note (ECN) <i>Please specify your email id</i> <input type="checkbox"/> Physical Contract Note
Educational Qualification	<input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional
Investment/Trading Experience	<input type="checkbox"/> Years in Stocks <input type="checkbox"/> Years in Derivatives <input type="checkbox"/> Years in Commodities <input type="checkbox"/> No Prior Experience
Primary purpose of dealing	In Equities: <input type="checkbox"/> Intraday <input type="checkbox"/> Positional <input type="checkbox"/> Investment In Derivatives: <input type="checkbox"/> Trading <input type="checkbox"/> Hedging
Stock Portfolio	<input type="checkbox"/> NIL <input type="checkbox"/> <5 Lacs <input type="checkbox"/> 5-20 Lacs <input type="checkbox"/> 20-50 Lacs <input type="checkbox"/> >50 Lacs
Any other information	<div></div>

PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority/regulatory against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, whether in terms of criminal or civil proceedings by any enforcement agency worldwide : ☐ YES ☐ NO

INFORMATION IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002

Funds Detail	Do you intend to invest in the stock market with : <input type="checkbox"/> Own Funds <input type="checkbox"/> Borrowed Funds
Name Relationship	Details of the relatives, having account with Emkay Global Financial Services Ltd.
	_____ UCC _____
Name Relationship Nature of Business	Details of the corporate/partnership firm/trust, etc where client is affiliated
	_____ UCC _____
	_____ Entity Type _____

DEALING THROUGH OTHER STOCK BROKERS

If you are dealing with any other stock broker/ Sub broker / Authorised Person, provide the following details:
(in case dealing with multiple stock broker/ Sub broker / Authorised Person, provide details of all)

Name of Stock broker	<input type="text"/>	Client Code	<input type="text"/>
Name of Sub broker/ Authorised Person	<input type="text"/>	Exchange	<input type="text"/>
Details of disputes/dues pending from/to such stock broker / Sub broker / Authorised Person _____			

DEALING THROUGH REGISTERED SUB BROKER / AUTHORISED PERSON

If you are dealing through Emkay Sub-broker / Authorised Person, provide the following details:

Name				BSE SEBI Regn. No.	
Regd. Off. Address				NSE SEBI Regn. No.	
				MSEI SEBI Regn. No.	
				MCX SEBI Regn. No.	
				NCDEX SEBI Regn. No.	
Signature (Sub-broker/AP)	SB 1/1	Tel. No		Remisier / AP _____	
		Fax No.		Remisier / AP _____	
		Website		Remisier / AP _____	

NGO Darpan Registered : Yes / No / Not Applicable

NGO Darpan Unique ID (If Registered) : _____

Note : Applicable for Non-Profit Organization

COMMON DETAILS FOR TRADING AND DEMAT

OTHER DETAILS

Gross Annual Income details	Income range per annum <input type="checkbox"/> Up to Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,000/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,000/- to Rs. 10,00,000/- <input type="checkbox"/> Rs. 10,00,000/- to Rs. 25,00,000/- <input type="checkbox"/> Rs. 25,00,000 to Rs. 1,00,00,000/- <input type="checkbox"/> More than Rs.1,00,00,000/-
Net worth as on Date: _____ Rs. _____ (Net worth should not be older than 1 year)	
LEI No.: _____	
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
Nature of Business	<input type="checkbox"/> Manufacturer <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____
* If Professional	<input type="checkbox"/> Doctor <input type="checkbox"/> Lawyer <input type="checkbox"/> CA/CS <input type="checkbox"/> Architect <input type="checkbox"/> IT consultant <input type="checkbox"/> Others _____
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Not Applicable
Any other information	_____

OFFICE NAME & ADDRESS IF EMPLOYED / SELF EMPLOYED / BUSINESS / PROFESSIONAL

Name	_____
Address	_____
with pin code	_____

BANK ACCOUNT(S) DETAILS OF SOLE / FIRST HOLDER

Bank Name	_____																
Branch Address	_____																
City	_____				State	_____				Country	_____				PIN	____	
Bank A/c. No.	_____								A/c. Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____							
MICR Number	_____								IFSC Code	_____							
Proof of Bank Submitted	<input type="checkbox"/> Bank Statement <input type="checkbox"/> Cancelled Cheque (with client name and A/c. no. printed) <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Bank Verification Letter (original)																
Opt for UPI	<input type="checkbox"/> Registered <input type="checkbox"/> Not Opted <input type="checkbox"/> Not Applicable <input type="checkbox"/> De-registered																
If registered	_____																

ADDITIONAL BANK ACCOUNT(S) DETAILS FOR TRADING

Bank Name	_____								_____								_____							
Branch Address	_____								_____								_____							
Account No.	_____								_____								_____							
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____								<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____								<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____							
MICR No.	_____								_____								_____							
IFSC Code	_____								_____								_____							
Proof of Bank Submitted	<input type="checkbox"/> YES <input type="checkbox"/> NO								<input type="checkbox"/> YES <input type="checkbox"/> NO								<input type="checkbox"/> YES <input type="checkbox"/> NO							

Type of Accounts (Please tick whichever is applicable)									
Status								Sub-Status	
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Funds <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify)_____								To be filled by the DP	
Corporate Sub-Status		<input type="checkbox"/> Domestic <input type="checkbox"/> Foreign Body <input type="checkbox"/> Group Company <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Others_____							
SEBI Registration No.				SEBI Registration Date					
RBI Registration No.				RBI Registration Date					
Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)_____							

Mobile Number Declaration (Family to strictly include spouse, dependent children and dependent parents only, Kindly tick relevant option)

I hereby declare that the Mobile Number as per KRA KYC belongs to:

☐ Self or ☐ Spouse ☐ Dependent Children ☐ Dependent Parents

Email ID Declaration (Family to strictly include spouse, dependent children and dependent parents only, Kindly tick relevant option)

I hereby declare that the Email ID as per KRA KYC belongs to:

☐ Self or ☐ Spouse ☐ Dependent Children ☐ Dependent Parents

Address Declaration (Family to strictly include spouse, dependent children and dependent parents only, Kindly tick relevant option)

I hereby declare that provided address as per KRA / KYC belong to

☐ Self or ☐ Spouse ☐ Dependent Children / Dependent Parents ☐ Other _____

FATCA - CRS Declaration - INDIVIDUAL

Please fill the information below as requested	First Account Holder	Second Account Holder	Third Account Holder
Name of the Account Holder			
Maiden Name (if any)			
Father's Name (mandatory)			
Spouse's Name			
Marital Status	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Other	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Other	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Other
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others _____	<input type="checkbox"/> Indian <input type="checkbox"/> Others _____	<input type="checkbox"/> Indian <input type="checkbox"/> Others _____
Aadhar No.	XXXXXXXX	XXXXXXXX	XXXXXXXX
Identification Type Documents submitted as proof of identity of the individual	<input type="checkbox"/> PAN <input type="checkbox"/> Other (pls. Specify) _____	<input type="checkbox"/> PAN <input type="checkbox"/> Other (pls. Specify) _____	<input type="checkbox"/> PAN <input type="checkbox"/> Other (pls. Specify) _____
Please mention your Residential Status if it is any one of these	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India? Yes ☐ No ☐

If 'Yes', please fill for all countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please tick (3) the reason A, B or C [as defined below]
1				→ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
2				→ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>

> Reason A → The country where the Account Holder is liable to pay tax does not issue TIN to its residents.


> Reason B → No TIN required [Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]

> Reason C → Others – Please specify the reasons _____

Declaration:

I / We certify that: a) the information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962. b) the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise. c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign. d) I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us or if any certification becomes incorrect and to provide fresh self-certification along with documentary evidence. e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /RBI/SEBI for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period. f) I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company. g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder. h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein. i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information. j) I / We certify that I/we have the capacity to sign as per CBDT rules/SEBI guidelines.

I/We authorize Emkay Global Financial Services Limited / Its Associates / subsidiaries to authenticate data in accordance with UIDAI (Authentication) Regulations.

 4/21

First Applicant

 3/16

Second Applicant

 1/14

Third Applicant

Date: _____ Place : _____

Acknowledgement

We acknowledge the receipt of FATCA/CRS declaration form duly filled and signed from Mr./Ms./

M/s. _____ PAN _____ on dd/mm/yyyy

Date: _____

 4/8

Signature with Name, Emp. ID & Seal

Emkay
Your success is our success

(If "Yes", please provide country/ies in which the entity is a resident for tax purpose and the associated TIN)

In case the Entity's Country of Incorporation / Tax Residence is US but Entity is not a Specified US person, mention Entity's exemption code here

We are a

☐ Financial Institution / FFI

☐ Direct Reporting NFFE

GIIN (Global Intermediary Identification Number):

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of the sponsoring entity

GIIN not available [tick any one]:

☐ Applied For

☐ Not required to apply for—specify sub - category code

--	--

☐ Not obtained - Non-participating FFI

Part - C [Fill any one as applicable -to be filled by NFEs other than Direct Reporting NFEs]

1	Is the entity is a listed company [whose shares are regularly traded on a recognized stock exchange]	<input type="checkbox"/> No <input type="checkbox"/> Yes (If Yes, Please specify any one Stock Exchange on which the stock is traded regularly) Name of the Stock Exchange _____
2	Is the entity a, Related Entity of a listed company [whose shares are regularly traded on a recognized stock exchange]	<input type="checkbox"/> No <input type="checkbox"/> Yes (Please specify the name of the listed company and one stock exchange on which stock is traded regularly) Name of the listed company: _____ Nature of Relation: <input type="checkbox"/> Subsidiary <input type="checkbox"/> Controlled
3	Is the entity an Active NFE ?	<input type="checkbox"/> No <input type="checkbox"/> Yes - Nature of business _____ Please specify sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>
4	If the entity a Passive NFE :	<input type="checkbox"/> No <input type="checkbox"/> Yes - Nature of business _____ If Yes, fill UBO declaration in the next section

if Passive NFE, please provide the below additional details for each of the Controlling person. (Please attach additional sheets if necessary)

S No	Name of UBO	Taxpayer Identification Number / PAN / Equivalent ID Number~	Place & Country of Birth	Country of Tax Residency*	Occupation Type [Service, Business, Others.]	Nationality	Father's Name	Date of Birth dd/mm/yyyy	Gender [Male, Female, others]

Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India

~ In case TIN is not available, kindly provided functional equivalent

* If UBO has more than one tax residency outside India, details to be provided in separate rows for each of the tax residency countries

Declaration:

Declaration:

I / We certify that: a) the information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962. b) the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise. c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign. d) I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us or if any certification becomes incorrect and to provide fresh self-certification along with documentary evidence. e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) / RBI/SEBI for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period. f) I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company. g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder. h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein. i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information. j) I / We certify that I/we have the capacity to sign for the Entity as per CBDT rules/SEBI guidelines.

Signature with relevant seal:



Date: Authorised Signatory



Authorised Signatory



Authorised Signatory


Place:

INTRODUCER / REFERENCE DETAILS

Introducer Name: _____

Address : _____





Code (if any) : _____ Tel. No.: _____

Status of Introducer : ☐ Remisier ☐ Authorised Person ☐ Existing Client ☒ Others _____Signature of the Introducer :  1/1**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.

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.

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.




	First / Sole Holder	Second Holder	Third Holder
Name			
Signature	 5/21  6/19	 4/16	 2/14

Place	Date	D	D	M	M	Y	Y	Y	Y
-------	------	---	---	---	---	---	---	---	---

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

Family Name : _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the employee			
Employee Code			
Designation of the employee			
Date			
Signature	 5a/8	 5a/8	 5a/8

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.

Date _____

 6/8

Signature of Authorised Signatory

Seal/Stamp of the stock broker

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

(To be filled by the Depository Participant)

Application No. / DP Internal Ref. No. Date

DP ID 1 2 0 2 3 0 0 0 Client ID

(To be filled by the applicant in BLOCK LETTERS in English)

I/We request you to open a demat account in my/our name as per following details :-

Sole / First Holder's Name		PAN										
		UID	X	X	X	X	X	X	X	X		
		UCC										
		Exchange Name & ID										
Second Holder's Name		PAN										
		UID	X	X	X	X	X	X	X	X		
Third Holder's Name		PAN										
		UID	X	X	X	X	X	X	X	X		

* Name : _____

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. although the demat account is opened in the name of the natural persons, the name of the firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

Type of Account (Please tick whichever is applicable) INDIVIDUAL

Status	Sub-Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Director Relative <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Minor <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Other (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI-Depository Receipt <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Other (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipt <input type="checkbox"/> Other (specify) _____

ONLY FOR NRI CLIENTS

RBI Ref. No. RBI Approval Date

Please Note : 1. Please attach copy of permission for dealing in Securities from Authorised Dealer (Bank) / RBI Approval
2. In case of Marchant Navy NRI's, Mariners declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.

Declaration under Operating Instruction No.2.3.5 and 2.3.6 issued by the Central Depository Services (India) Limited
The address mentioned by me in the account opening form contains Post office Box Number (P.O. Box No.). Kindly accept the P.O. Box No. as valid address and additionally I have mentioned my complete residential address in Permanent address and hereby undertake to inform Emkay Global Financial Services Ltd. for any change.
Further with reference to my/our demat account maintained with Emkay Global Financial Services Ltd., I/we hereby confirm that I/we have complied with, and shall continue to comply with, Foreign Exchange Management Act, 1999 and rules and regulations issued there under and other applicable laws.

Client Signature (Only for NRI)	 6/21	 5/16	 3/14
	1st holder	2nd holder	3rd holder

DETAILS OF GUARDIAN/RELATED PERSON / (in case of Individual only and if account holder is minor)




Guardian's / Related Person Name	PAN											
Relationship with the applicants												
Identity Proof of Guardian's / Related Person :												
Address Proof of Guardian's / Related Person :												
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')											(Automatic Credit)	
											<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further Instructions from my/our end (If not marked, the default option would be 'No')											<input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement		<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly										
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID											<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to share the email ID with the RTA											<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)												
I/We wish to receive dividend/interest directly in to my bank account given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]											<input type="checkbox"/> Yes <input type="checkbox"/> No	
For Joint Accountants Communication to be send to -											<input type="checkbox"/> First Holder <input type="checkbox"/> All Joint account Holders	

OTHER DETAILS

SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	Mobile No.: +91-									
	[Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).									

* Mobile No. & E-mail ID should be same as mentioned in Constituent details.

easi	<input type="checkbox"/> Yes If yes, please contact your DP for details [Facility through CDSL's website www.cdslindia.com where in a BO can view his ISIN balance, transactions and value of the portfolio online]	<input type="checkbox"/> No
-------------	---	-----------------------------

 7/21  7/19	 6/16	 4/14
First Holder	Second Holder	Third Holder

Date


D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

BO Account Details

DP ID	1	2	0	2	3	0	0	0	Client ID							
Name of the Sole / First Holder																
Name of Second Holder																
Name of Third Holder																

- ☐ I/We hereby confirm that I/We do not wish to appoint any nominee in my demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account.

[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 8/21	✓ 7/16	X 5/14

Note:

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination].

- ☐ I/We nominate the following person/s who is entitled to receive all Assets / security balances lying in my/our account, particulars whereof are given below, in the event of the death of te Sole holder or the death of all the Joint Holders.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:			
Middle Name:			
*Last Name			
*Percentage of allocation of securities: <input type="checkbox"/> Equally [If not equally, please specify percentage] Or <input type="checkbox"/> Share of each Nominee	%	%	%

Any odd lot after division shall be transferred to the first nominee mentioned in the form


Nomination Identification Details – [Please tick any one of following and provide details of same]	Nominee 1	Nominee 2	Nominee 3
<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID [Optional Fields]			
*Address:			
*City:			
*State:			
*Pin:			
*Country:			
Mobile no. / Telephone No: [Optional Fields]			
Email ID: [Optional Fields]			
Fax No: [Optional Fields]			
*Relationship with the BO:			
Date of birth (mandatory)			
To be filled only if Nominee(s) is a minor)			
Name of the Guardian of Nominee (if the nominee is minor):			
*First Name:			
Middle Name:			
*Last Name			

*Address of the Guardian of nominee:			
*City:			
*State:			
*Pin:			
*Country:			
Age			
Mobile no. / Telephone No: [Optional Fields]			
Email ID: [Optional Fields]			
Fax No: [Optional Fields]			
*Relationship of the Guardian with the Nominee:			
[Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID [Optional Fields]			

Note : Residual securities: incase of multiple nominees, remaining after distribution of securities as per percentage of allocation. shall be transferred to the first nominee.




* Marked is Mandatory field

Note: Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination.

Details of the Witness	
	Witness Details
Names of Witness	
Address of Witness	
Signature of Witness	

This nomination shall supersede any prior nomination made by the account holder(s), if any.

Place: _____ Date : _____

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 9/21	 8/16	 6/14

The Depository Participant shall provide acknowledgment of the nomination form to the account holder(s)

(To be filled by DP)

Nomination Form accepted and registered wide Registration No. _____ dated _____. For Depository Participant (Authorised Signatory)

------(Please Tear here)-----

Received nomination from :

Acknowledgement Receipt

DP ID	1	2	0	2	3	0	0	0	Client ID							
Name																
Address																
Nomination in favor of																
First - Nominee																
Second - Nominee																
Third - Nominee																
No Nomination	<input type="checkbox"/> Would like to opt out nomination.															

COMTRACK / CCRL / NERL ACCOUNT DETAILS OF THE CLIENT

To be filled and submitted by clients holding COMTRACK / CCRL / NERL account to the Member by clients.

1. Name of the Client: _____

2. Client Address : _____

3. PAN No : _____

4. Bank Details(other than as mentioned in Annexure 1 Part II):

Bank Name	Branch Address	Bank Account No.	Account Type: Saving/Current/Others	MICR Number	IFSC Code

5. Name of Trading Member : _____

6. Trading Member ID : _____

7. COMTRACK Details of client :

Sr. No.	COMTRACK Participant Name	COMTRACK Participant ID	COMTRACK Account No. of Beneficiary

8. CCRL Details of Client

Sr. No.	CCRL Participant Name	CCRL Participant ID	CCRL Account No. of Beneficiary

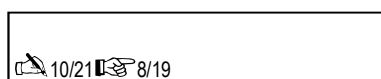
9. NERL Details of Client

Sr. No.	NERL Participant Name	NERL Participant ID	NERL Account No. of Beneficiary

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/We undertake to inform you of any change 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.

Signature of Clients:

 10/21 8/19

First Applicant

 9/16

Second Applicant

 7/14

Third Applicant

Date : _____

Place : _____

Note:

- Please provide a certified copy of COMTRACK / CCRL / NERL master or a recent COMTRACK / CCRL / NERL holding statement issued by a COMTRACK / CCRL / NERL Participant bearing name of Client.
- In case the client has multiple COMTRACK / CCRL / NERL account, Please provide proof and details of the same.
- In case of PAN provide certified copy of PAN.
- In case of Bank account provide copy of cancelled cheque as proof for all the bank account details provided.





CLEARING MEMBER DETAILS (To be filled by CMs only)

Name of the Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

DECLARATION

I/We further confirm having received, read and understood the contents of the 'Rights and Obligations' document(s) and terms & conditions and agree to abide by and be bound by the same and bye laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and correct to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

We understand that If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

	First / Sole Holder Guardian (In case of minor)	Second Holder	Third Holder
Name			
Signature	 11/21  9/19	 10/16	 8/14

☐ Jointly ☐ Anyone of the holder or survivor(s)

ACKNOWLEDGEMENT RECEIPT

Application No. / DP Internal Ref. No. _____

Date :

We hereby acknowledge the receipt of the Account Opening Application Form

Name of the Sole/First Holder	
Name of Second Holder	
Name of Third Holder	

 7/8

Depository Participant Seal and Signature



DETAILS OF DP SCHEME AND CHARGES APPLICABLE

Sr. No.	Particulars	Please tick where applicable		
		Investors	Traders	BSDA
1	Account Maintenance Charges	Individual Rs. 300/-	Individual Rs. 1000/-	Individual (Holding value < 4,00,000 = 0/- Amc, Holding value 4 lakh to 10 lakh = 100/- Amc and Holding value > 10,00,000 = 300/- Amc)
		Corporate Rs. 800/-	Corporate Rs. 1600/-	N.A.
2	Demat	Per Certificate Rs. 50/- Plus Postal Charges Rs. 50/- or actuals whichever is higher*	Per Certificate Rs. 50/- Plus Postal Charges Rs. 50/- or actuals whichever is higher*	Per Certificate Rs. 50/- Plus Postal Charges Rs. 50/- or actuals whichever is higher*
3	Remat	Actual CDSL Charges + Postal charges Rs. 60/- Min Rs. 100/-	Actual CDSL Charges + Postal charges Rs. 60/- Min Rs. 100/-	Actual CDSL Charges + Postal charges Rs. 50/- Min Rs. 100/-
4	Transaction Charges			
	a) Within Emkay Pay-in	Rs. 15/-	Actual CDSL (Min Rs. 5/-)	Rs. 15/-
	b) Within Emkay Bo to Bo	Rs. 20/-	Rs. 15/-	Rs. 20/-
	c) Outside Emkay DP	Rs. 25/-	Rs. 25/-	Rs. 25/-
	d) Failed Transaction	Rs. 25/-	Rs. 25/-	Rs. 25/-
	Pledge/Unpledge/Conf	Rs. 75/-	Rs. 75/-	Rs. 75/-
5	Margin Pledge/Un-pledge Setup	Rs. 15/-	Rs. 15/-	Rs. 15/-
	DIS Issue	Rs. 50/-	Rs. 50/-	Rs. 50/-
	Demat Rejection	Rs. 100/- Plus postal charges Rs. 50/- or actuals whichever is higher.	Rs. 100/- Plus postal charges Rs. 50/- or actuals whichever is higher.	Rs. 100/- Plus postal charges Rs. 50/- or actuals whichever is higher.
	Extra Statement	Soft copy Rs. 10/- per req Physical Rs. 30/- per req	Soft copy Rs. 10/- per req Physical Rs. 30/- per req	Physical Rs. 25/- per req
	Account Modification	Rs. 15/-	Rs. 15/-	Rs. 15/-
	Transaction Statement	Rs. 15/-	Rs. 15/-	Physical Rs. 25/-
	Miscellaneous charges	Actual Charges (Erroneous transfer, penalties.etc.)	Actual Charges (Erroneous transfer, penalties.etc.)	Actual Charges (Erroneous transfer, penalties.etc.)

Notes:

- GST charges and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates
- For availing easiest or any other facility of CDSL, charges levied would be collected from the clients at actual
- CDSL levies rematerialization charges as higher of the following
I) A fee of Rs. 10/- for every 100/- securities or part thereof; or II) A flat fee of Rs. 10/- per certificate.
- AMC will be charged for 1st quarter, rest 3 quarter would be free
- *Actual postal charges for demat is max Rs. 75/-
- My/ Our Consent, do not wish to opt BSDA scheme as per Regulatory and consider as valid electronic confirmation. I/We hereby agree that I/We shall be abide by rules and regulations and new scheme, authorized to Emkay Global Financial services Ltd, to debit all the Demat Account related charges to my/our Emkay Trading Account.

☐ I hereby confirm & consent that I do not wish to opt for the BSDA (Basic Services Demat Account) scheme for my account, Please consider this as my electronic consent in accordance with regulatory requirements. Should my DPBO account become eligible for the BSDA scheme in the future, I will inform you separately via email at dp@emkayglobal.com or through written communication if I decide to opt for the BSDA scheme

 12/21  10/19

First Holder

 11/16

Second Holder

 9/14

Third Holder

General Instructions:

- In case of non exercise of option, investor scheme shall be applicable.
- Blank & Signed Delivery Instruction Slips should not be left with your DP/Broker.
- All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to pay in day as per SEBI Guidelines. All off Market Instructions for transfer must be received atleast 24 hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility.

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th floor, P. J. Towers, Dalal Street, Fort, Mamba 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alert" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the Bos who are residing in India.
3. The alerts will be provided to the Bos only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the prescribed manner any change in mobile number, of loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in "off" mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timelessness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and / or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and /or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall hold the depository liable for any loss, damages, etc. that may be incurred / suffered by the BO on account of option to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees : Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer : The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and / or SMS alert on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse information by any third person.

Liability and Indemnity : The Depository shall not be liable for any breach of confidentiality by the service provider or any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments : The depository may amend the terms and conditions at any time with or without giving any prior notice to the BO's. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing laws and Jurisdiction :

Providing the services as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I / We wish to avail the SMS Alerts facility provided by the depository on my / our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to CDSL providing to the service such information pertaining to account / transactions in my / our account as in necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I / we further undertake to apply fee / charges as may be levied by the depository from time to time.

I / we further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If a more than four debits take place, the BOs would be required to take up the matter with their DP.

I / We am / are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.



I / We provide the following information for the purpose of REGISTRATION / MODIFICATION (please cancel out what is not applicable)

* Mobile no. on which
messages are to be sent


+ 91										
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The mobile number is registered in the name of : _____


* E-mail ID : _____

 13/21  11/19

First Holder

 12/16

Second Holder

 10/14

Third Holder

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date

D	D	M	M	Y	Y	Y	Y
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DP ID	1	2	0	2	3	0	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	





To,
Emkay Global Financial Services Limited
 Paragon Centre, C-06, Ground Floor,
 Pandurang Budhkar Marg, Worli,
 Mumbai – 400013.

Dear Sir / Madam,
 I/We hereby state that: [Select one of the options given below]

☐ OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with **Emkay Global Financial Services Limited** (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Yours faithfully

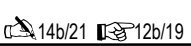



	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	 14a/21  12a/19	 13a/16	 11a/14

OR

☐ OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/registered for eDIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	 14b/21  12b/19	 13b/16	 11b/14

----- (Please Tear Here) -----

Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID	1	2	0	2	3	0	0	0	Client ID								
Name of the Sole/First Holder																	
Name of Second Holder																	
Name of Third Holder																	

Declaration

Date:

To,
Emkay Global Financial Services Limited
Paragon Centre, C-06, Ground Floor,
Pandurang Budhkar Marg, Worli,
Mumbai – 400013.

Dear Sir,





I/ We hereby state and declare that I have received, read and understood the below mentioned documents to my satisfaction and understood the voluntary clauses mutually agreed between us.

1. I/ We have received and read the document stating the Rights & Obligations of stock broker/commodity broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).
2. I/ We have received and read the Document detailing risks associated with dealing in the securities market / commodities market in the Risk Disclosure document.
3. I/ We have received and read the Guidance note detailing do's and don'ts for trading on exchanges, for the education of the investors.
4. I/ We have received and read the Document describing significant policies and procedures of the stock broker and also the tariff structure.
5. I/ We have received and the read the Documents describing Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories for the purpose of opening a Demat account.
6. I/ We have received and read the Guidance note detailing do's and don'ts for DP, for the education of the investors.
7. I/ We have received and read the Investor Charter for Stock Brokers, for the education of the investors.
8. I/ We have received and read the Investor Charter for Depository Participant, for the education of the investors.

I have got a clear idea about all brokerage, commissions, fees and other charges levied by the Emkay Global Financial Services Ltd. for trading and Depository account as per the relevant provisions/ guidelines specified by the SEBI/Stock Exchanges.

I hereby acknowledge the same.

Client Code : _____

	First / Sole Holder or Guardian (incase of Minor)	Second Holder	Third Holder
Name			
Signature	 15/21  13/19	 14/16	 12/14

Place	Date	D	D	M	M	Y	Y	Y	Y
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Voluntary**CONSENT FORM FOR RECEIVING TRADE/TRANSACTION ALERTS THROUGH
SMS AND / OR E-MAIL**

To

Emkay Global Financial Services Limited

Paragon Centre, C-06, Ground Floor,
Pandurang Budhkar Marg, Worli,
Mumbai – 400013.

Dear Sir,

I / We, _____ a client with Emkay Global Financial Services Limited, Member of BSE, NSE, MSEI, MCX, NCDEX and any other Stock Exchange in future, undertakes as follows:

- 1) I / We are aware that Bombay Stock Exchange Limited (BSE), National Stock Exchange of India Limited (NSE) and Metropolitan Stock Exchange of India Limited (MSEI), Multi Commodity Stock Exchange of India Limited (MCX), National Commodity and Derivatives Exchange Limited (NCDEX) provides the details of the trades executed on their trading platforms to the concerned clients / constituents through SMS and E-mail alerts.
- 2) I / We are aware that the Member (Emkay) has to provide the trade details through SMS / E-mail alerts for my/our convenience at my/our request only.
- 3) I / We hereby confirm that I / we wish to receive the trade alerts through:

☐ SMS☐ E-mail☐ SMS and E-mail

- 4) I/We hereby confirm and request you that the trade alerts should be sent on



Mobile Number :

+91									
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E-mail Address :

I / We hereby agree to the terms and conditions specified by the BSE vide Circular No. 20110809-19 dated August 9, 2011, NSE vide Circular No. 686/2011 dated November 18, 2011, MCX vide Circular No. MCX/T&S/165/2012 dated April 26, 2012, NCDEX vide Circular No. NCDEX/COMPLIANCE-007/2012/093 dated March 19, 2012 and circulars / clarifications issued by the Exchanges from time to time in this regard. I/We am/are also aware that this is an additional facility provided by the Exchanges and I/we shall not solely rely or use such data for any purpose and Exchanges shall not be liable for any direct or indirect loss of any nature because of providing this additional facility to me/us.

Client Signature :

 16/21  14/19

Client Name :

Unique Client Code :

PAN :

Date :

Voluntary**Consent to receive the Contract Note, Trade Confirmations and DP Transaction cum holding statement by E-mail**

To,
Emkay Global Financial Services Limited
Paragon Centre, C-06, Ground Floor,
Pandurang Budhkar Marg, Worli,
Mumbai – 400013.

Sir,

I/We hereby consent to receive the contract note/trade confirmations of the trades executed by me/us and monthly DP transaction cum holding statements, bills & account statements thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the Rules made there under, to any of my self created Email Ids mentioned below -




Email Id - 1	
Email Id - 2	
Email Id - 3	

I/We further hereby consent to the following:

1. That the Member/Depository Participant shall fulfill its legal obligation if the aforesaid documents are sent electronically to any one of the said e-mail ids.
2. I/We shall communicate the change in e-mail id, if any, to you through a duly signed physical letter.
3. I/We undertake to check contract notes/ monthly DP holding and transaction statements, bills on regular basis and bring the discrepancies to your notice preferably within 48 hours of the execution of the trade or on receipt of the said statements.
4. Non verification or not accessing the contract notes/ DP holding cum transaction statements on regular basis from my/our part shall not be a reason for disputing the contract note or the DP holding or transaction statements at any time.
5. That Member/ Depository Participant will not be responsible for non receipt of documents sent via electronic delivery due to change in email address as mentioned above or for any other reason which inter alia include the malfunction of my/our computer system/server/internet connection etc.
6. That the non-receipt of bounced mail notification by Emkay shall amount to delivery of the documents at my/our E-mail ID.
7. That the Member shall not take cognizance of out-of office/out of station auto replies and I/We shall be deemed to have received such electronic mails.
8. I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
9. I am aware that the Member has to provide electronic contract note for my convenience on my request only.
10. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
11. My email id is* _____. This has been created by me and not by someone else.
12. I am aware that this declaration form should be in English or in any other language known to me.
13. Digital Contract notes will also be available at URL <https://www.emkayglobal.com> (Web link for client login).
14. Clients can view the Digital Contract notes on URL by using the username & password.

Yours faithfully,

Client Signature :

 17/21 15/19	 15/16	 13/14
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Client Name

: _____
First Holder **Second Holder** **Third Holder**

Voluntary**Authority to Retain Securities and Funds
(For Maintaining Running Account)**

To,
Emkay Global Financial Services Limited (EGFSL)
Paragon Centre, C-06, Ground Floor,
Pandurang Budhkar Marg, Worli,
Mumbai – 400013.

Sir,

I/We, am/are registered with you as a client for execution of traded from time to time in Cash/Capital and/or F&O Segment/Currency Derivative and/or Commodity Derivative Segment of Bombay Stock Exchange Ltd (BSE) and/or Nation Stock Exchange Of India Ltd (NSE) and/or Metropolitan Stock Exchange of India Ltd (MSEI) and/or Multi Commodity Exchange of India (MCX) and/or National Commodity & Derivatives Exchange Limited (NCDEX) hereinafter called as 'the Stock Exchanges'.

In order to facilitate operations, I/We hereby authorize you to maintain my/our accounts both in securities, commodity and funds with you on a running account basis

- a) I understand that consequent to your execution of my/our secondary market trades, I/we have either to pay/receive funds and/or securities depending upon my/our securities transactions. In the event I/we have to receive funds/securities from you on declaration of pay-out of funds or securities by the Stock Exchanges, I/we hereby authorize you to retain the funds and/or securities as the case may be, with you as margin towards my/our ongoing market transactions from time to time in Cash/Capital Market and/or F&O Segments and/or Currency Derivative Segment and/or Commodity Derivative Segment of any Stock Exchanges.
- b) Further, I/we authorize you to deposit any and all the securities kept as collateral by me/us from time to time, with above exchanges, clearing house, clearing corporation, clearing members towards margin as permitted from time to time.
- c) In case there is a debit balance in my/our account, you are authorized to sell at any point of time the shares/ securities held by me/us or held on my/our behalf, at your sole discretion. Any profit or loss made on such transactions will be to my/our account as it would have occurred on normal purchase/sale made by me/us. I/We also agree to pay the balance amount, if any after deducting credit of sale of shares.
- d) I/We understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.
- e) I/We further authorize you to set off/ adjust any of my/our debits/dues in any segment of any Exchange with credits of any other segment(s) of any Exchange(s) in my/our account within the period of settlement of my/our account (Excess Securities and Funds) as opted by me/us.
- f) I am/ We are aware that the said authorization given to you is on one time basis and is valid till the same is revoked by me/us in writing at any point of time.
- g) I/We desire actual settlement of funds and securities at least once in a 90 Days or 30 Days (If no, Please settle my funds/ Excess Securities on 90 Days basis)
- h) I/We, am/are under an obligation to bring any dispute arising from the statement of account or settlement to your notice preferably within 7 working days from the receipt of funds / securities or statement as the case may be.

Yours faithfully,

Client Signature :  18/21  16/19 _____

Client Name : _____

Client Code : _____

Voluntary**Request & Authority for Placement of Securities Collateral & Withdrawal**

To,
Emkay Global Financial Services Limited
Paragon Centre, C-06, Ground Floor,
Pandurang Budhkar Marg, Worli, Mumbai – 400013.



Dear Sir,

In order to facilitate operations and to abide by the statutory requirements as laid down from time to time, we wish to keep transferring the securities to your designated demat account from time to time as collaterals towards margin deposit for various Segments of the Exchanges for which you may please exempt me/us to give you separate individual instructions every time, Such collateral securities so transferred to your designated demat account and margin benefits be given to me/us accordingly.

I/we further confirm/ under take that;

- (i) The Said Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- (ii) The Said Securities will be subject to the creation of pledge in favour of or for the benefit of Clearing Corporation and further that the Securities over which pledge may be created in future would be in existence and owned by me/ us at the time of creation of such pledge and that the Said Securities to be given in future as security to Clearing Corporation would likewise be unencumbered, absolute and disposable property of me/ us.
- (iii) The Clearing Member is authorized to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary under this Deed of Pledge and the same shall be subject to terms and conditions as contained herein.
- (iv) I/we agree that the Said Securities shall be subject to the first priority and lien in favour of Clearing Corporation to secure, the client's obligations and that the rights or interests of the client with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Clearing Corporation in respect of the Said Securities.
- (v) NCL may invoke the pledge without any reference to or permission from me/ us and upon receipt of the Said Securities, Clearing Corporation may utilize the proceeds in meeting the my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against the Clearing/Trading Member and me/us.
- (vi) I/we shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.
- (vii) I /we also request & authorize you to directly deliver such collateral securities to the Stock Exchanges/Clearing Corporation towards my/ our pay in / margin obligations without any reference to me/us.
- (viii) I/we further confirm that all the Demat Charges in this regard would be borne by me/us.
- (ix) I authorize you to liquidate these securities to recover any outstanding dues/margin requirement in my account.

Yours faithfully,
Client Signature :

 19/21  17/19	✓16/16	X14/14
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Client Name :

First Holder

Second Holder

Third Holder

ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION

To,
Emkay Global Financial Services Limited
 Paragon Centre, C-06, Ground Floor,
 Pandurang Budhkar Marg, Worli, Mumbai – 400013.

Dear Sir,

I, _____ a client with Member

M/s. **Emkay Global Financial Services Limited** of **BSE/NSE/MCX/NCDEX/MSEI** Exchange undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is* _____. This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

**(The email id must be written in own handwriting of the client.)*



Client Name : _____

Unique Client Code : _____

PAN : _____

Address: _____

Signature of the Client :

 20/21  18/19

Date :

Place :



Verification of the client signature done by,
 Name of the designated officer of the Member
 Signature

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Signature of the Client :

 21/21  19/19

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TRADING & DEMAT ACCOUNT CHECKLIST (INDIVIDUAL/NRI) - VERSION 01.03.2024

Required Validation	ID Details			Address Details		Bank Details	
Proofs	Name	Sign Photo	Photo	Correspondence Address	Permanent Address	Bank Name & A/c. No.	MICR / IFSC Code
PAN Card							
Passport*							
Driving Licence*							
UID (Aadhaar)							
Ration Card							
Telephone Bill** (Mobile bill not accepted)							
Electricity Bill**							
Flat maintenance bill paid copy**							
Insurance premium paid receipt**							
Bank Statement # (only for NRI)							
Bank Passbook ## (only for NRI)							
Cancelled Cheque (With Client name & A/c. No. Printed)							
Bank Verification Letter (Original) (only for NRI)							
C - Safe							
KRA							
Mobile No. / Email ID							

Abbreviations:

- 1) * The Proof should be valid on the DATE of agreement.
- 2) ** The Proof should not be more than 3 months old.
- 3) # Bank Statement should be original and of latest quarter. It should have Bank Manager's Stamp & Sign, if original stationery is not available. (Applicable only is case of NRI)
- 4) ## Bank Passbook should have Bank Manager's Stamp & Sign if it is hand written. (Applicable only is case of NRI)
- 5) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- 6) Photocopy of the Bank Statement having name and address of the BO (Applicable only is case of NRI)
- 7) Photocopy of the Passbook having name and address of the BO, (or) (Applicable only is case of NRI)
- 8) Letter from the Bank.

In case of options (6), (7) and (8) above, MICR code of the branch should be present / mentioned on the document.

PROOF OF FINANCIAL DETAILS, any one (for clients who wish to trade in F&O)

- | | | |
|-----------------------------|---------------------------|--|
| ✓ Copy of Income tax Return | ✓ Copy of Annual Account | ✓ Copy of Form 16 (Salary Certificate) |
| ✓ Networth Certificate | ✓ Demat Holding Statement | ✓ Bank Statement for last 6 months |

PROOF FOR EXISTING DEMAT ACCOUNT HOLDERS

- | | |
|----------------|------------------------------|
| ✓ DP Statement | ✓ Client Master Report (CMR) |
|----------------|------------------------------|
1. Clients name & DP A/c No. on the proof of DP should match with that mentioned in the account opening form.
 2. DP Statement should clearly show DP ID & Client ID.
 3. For E-Broking clients, Demat A/c should be opened with EMKAY only with POA.

PROOF FOR NRI (NON RESIDENT INDIAN)

1. PAN card
2. Valid Passport / PIO Card / OCI Card as proof of identity. Proof of Foreign Address and Indian Address (If any)
3. Bank A/c should be either Repatriable Bank A/c for NRE OR Non-Repatriable A/c for NRO Status.
4. Proof of Demat Account should be only with NRI status.
5. Permission for dealing in securities from Authorized Dealer (Bank) / RBI.

Note : The A/c opening form should be filled properly in BLOCK LETTERS ONLY

TRUST ONLY THE OFFICIAL EMKAY WEBSITES



**Remember, our only official websites are
www.emkayglobal.com, www.emkaywealth.com and www.emkayim.com**

**Be cautious of lookalike websites aiming to deceive.
If you encounter sites that seem suspicious, they could be fraudulent.
Don't fall for imitations - verify before you trust!**

**If you detect any fraudulent website, notify us at
compliance@emkayglobal.com**

Emkay Global Financial Services Limited

Registered and Corporate Office: The Ruby, 7th Floor, Senapati Bapat Marg, Dadar (West), Mumbai - 400 028.
• Tel.: +91 022 6612 1212 • Fax: +91 022 6612 1299

Administrative Office (For Correspondence): Paragon Center, C- 06, Ground Floor, Pandurang Budhkar Marg, Worli, Mumbai - 400013. • Tel: +91 22 6629 9299 • Fax: +91 22 6629 9199

• Web: www.emkayglobal.com • CIN: L67120MH1995PLC084899

• BSE • NSE • MSEI • MCX • NCDEX SEBI REG. NO.: INZ000203933 DT. OCT 01 2018
CDSL SEBI REG. NO.: IN-DP-60-2015 MUTUAL FUNDS: ARN 1563