

Sr. No. : _____

Client Code : _____

Client Name : _____

Date of Receiving : _____

☐ Individual ☐ Non-Individual



SIGNATURE GLOBAL COMTRADE
signatureglobaltrade.com

FOR OFFICE USE ONLY

UCC		Account Opening Date	
Client ID		Code	
Name			
Branch			
Date of Receiving			
Relationship Manager Name			

CONTACT DETAIL FOR INVESTOR GRIEVANCES

For any grievance/dispute please contact at the corporate office address or mail us at email id- ig@signatureglobaltrade.com or contact us on 011-45114511. In case not satisfied with the response, please contact the concerned exchange(s)/depository at :

Exchange	Website	Phone No.	E-mail ID
National Stock Exchange of India Ltd.	www.nseindia.com	1800220058	ignse@nse.co.in
Bombay Stock Exchange Ltd.	www.bseindia.com	022-22728097	is@bseindia.com
Multi Commodity Exchange of India Ltd.	www.mcxindia.com	91-22 -6731 8888	grievance@mcxindia.com
Depository	Website	Phone No.	E-mail ID
CDSL	www.cdslindia.com	022-22723333	complaints@cdslindia.com

➤ You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

DECLARATION FOR PRO TRADING

We Signatureglobal Comtrade Pvt. Ltd., hereby inform all our clients that besides trading on behalf of our Clients, we also do Proprietary Trading in our own account.

Note :

The information to be given in the form, is the sole property of the Member Broker and would not be disclosed to anyone unless required by law/statutory/regulatory authorities or except with the express permission of the client.

ACKNOWLEDGEMENT




Signatureglobal Comtrade Private Limited

I / we hereby acknowledge the receipt of copy of Rights and Obligations, Risk Disclosure Documents(RDD), Policies & Procedures, Rights and Obligations of the Beneficial Owner and Depository Participant, Schedule of Service Charges, Account opening form and all Other Documents as executed by me/us, to open demat &/or trading account in equity & / or commodity exchanges.

I/We further confirm that I/We have read and understood the contents mentioned in above documents.

Trading Code _____ Client ID : _____

Name & Signature of Client

	Sole/First Holder / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Signature			
Name			

* Please stamp & Sign in case of Non-Individual Account ** In case of Joint holding, all joint holders must sign.

Date:

SIGNATUREGLOBAL COMTRADE PRIVATE LIMITED
CIN : U74899DL2002PTC362495
SEBI SINGLE REGISTRATION NO. : INZ000192436
Member of NSE- ID -90107 Member of BSE- ID -665I Member of MCX- ID
Participant of Depository: CDSL– (Regn. No. IN-DP-684-2022) DP ID-12095400

Compliance Officer's Details : Name : Deepender Aggarwal • Ph. : 011-45114511 • E-mail Id : compliance@signatureglobaltrade.com

CEO's Details : Name : Nitesh Chandak • Ph. : 011-45114511 • E-mail Id : compliance@signatureglobaltrade.com

Regd Office: 13th Floor, Dr. Gopal Das Bhawan, 28 Barakhamba Road, Connaught Place, New Delhi - 110001

Corp Office : 230 -232 D-Mall, Netaji Subhash Place, Pitampura, Delhi - 110034

Telephone: 011-45114511 | Email: backoffice@signatureglobaltrade.com | Website : www.signatureglobaltrade.com

Name of Clearing Member	Globe Capital Market Limited
Regd. Office address	609, Ansal Bhawan, 16 K G Marg, New Delhi -110001
SEBI Regn. No	INZ000177137

INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, DEPOSITORY & EXCHANGES			
1.	Account Opening Form	A. KYC Form - Part I / CKYC Form (For Individual/Non-Individual) - Documents capture the basis about the constituent & an instruction/checklist (to be sent to KRA/CERSAI).	1-11
		B. FATCA & CRS Declaration for Non-Individual	12-13
		C. KYC Form - Part-II Document captures the additional information about the constituent relevant to trading account and Demat account.	14-21
2.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock/commodity exchange(s) (to be added by the stock broker).	22
3.	Schedule of Charges	Schedule of Service Charges for DP	23
4.	* Policies and Procedures	Document describing significant policies and procedures of the Member Broker.	Client Copy-Handed over to Client
5.	*Rights and Obligations – Equity Trading	Document stating the Rights & Obligations of Stock Broker / Trading Member, Authorised Person and client for Trading on exchanges (including additional Rights & Obligations in case of Internet/Wireless Technology based Trading).	
6.	*Risk Disclosure Document (RDD) - Equity Trading	Document detailing Risks associated with dealing in the Securities Market.	
7.	Guidance note	Document detailing do's and don'ts for Trading on exchange, for the education of the investors.	
8.	*Rights and Obligations of Members, Authorised Persons and Clients – Commodity Trading	Document stating the Rights and Obligation of Member, Authorised person & Client for Trading on the Exchanges (including additional right and Obligation in case of Internet/ wireless technology based Trading)	
9.	*Risk Disclosure Document (RDD) – Commodity Trading	Document detailing risks associated with dealing in the commodities market.	
10.	Guidance note	Document detailing Do's and Don'ts for trading on Exchanges, for the education of the investors – Commodity Trading.	
11.	*Rights and Obligations (DP)	Document stating the Rights and Obligations of Depository Participant and Beneficiary Owner	

12.	Investor Charter — Stock Brokers	Investor Charter — Stock Brokers	Client Copy-Handed over to Client
13.	Investor Charter - Depository Participant	Investor Charter — DP	
14.	Terms and Conditions for SMS alerts from CDSL	Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	24-25
VOLUNTARY DOCUMENTS AS PROVIDED BY THE DEPOSITORY PARTICIPANT AND STOCK BROKER			
15.	Mutual Fund Facility	Document related to Mutual Fund Facility to be signed, if applicant wishes to avail.	26
16.	Categorization of the clients for commodity	Self- Declaration Regarding Categorization of the client for each commodity (Commodity Market).	27
17.	Open Interest Declaration	Open Interest Declaration (Commodity Market).	28
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19.	ECN Authorization	Authorization for receiving Electronic Contract Notes (ECN's) and any documents/communications in electronic form by E-mail from Stock Broker and Depository Participant display on Website	29
20.	Running Account Authorization	Authorisation for Maintaining Account on Running Account Basis	30
21.	Terms And Conditions	Voluntary Terms And Conditions (Equity & Commodity)	31-32
22.	Declaration	Declaration by Karta & Co-Parceners for HUF Account	33
23.	Declaration	Addendum to the client registration form related to PMLA	34

* Rights and Obligations, Risk Disclosure Document (RDD), Policies and Procedures are the part and parcel of the standard account opening form. All the clauses mentioned in the above annexures are acceptable and applicable to constituent and trading member. For your reference you may also download the same, If there is any change in the clauses , intimation will be sent separately.

Signature of Client



PART-I CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual



Important Instructions:

- Fields marked with '*' are mandatory fields.
- Tick '✓' wherever applicable.
- Please fill the form in English and in BLOCK letters.
- Please fill the date in DD-MM-YYYY format.
- For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
- Please read section wise detailed guidelines / instructions at the end.
- List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end.
- List of two character ISO 3166 country codes is available at the end.
- KYC number of applicant is mandatory for update application.
- The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode

S. No.

App ID: Customer ID:

For office use only

(To be filled by financial institution)

Application Type*

☐ New

☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal

☐ Minor

☐ Aadhaar OTP based E-KYC (in non-face to face mode)

I. PERSONAL DETAILS* (Please refer instruction A at the end)

☐ Name * (Same as ID Proof)

Prefix

First Name

Middle Name

Last Name

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth*

Gender*

☐ M-Male

☐ F-Female

☐ T-Transgender

PAN*

☐ Form 60 furnished

Residential Status*

☐ Resident Individual

☐ Non Resident Indian

☐ Foreign National

☐ Person of Indian Origin

II. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- Passport Number
 - Voter ID Card
 - Driving Licence
 - NREGA Job Card
 - National Population Register Letter
 - Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

Photograph

Please affix your recent passport size photograph

Signature Across photograph

Address

Line 1*

Line 2

Line 3

District* Pin/Post Code* State/U.T. Code* City / Town / Village* ISO 3166 Country Code*

III. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- Passport Number
 - Voter ID Card
 - Driving Licence
 - NREGA Job Card
 - National Population Register Letter
 - Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar
- IV ☐ Deemed Proof of Address - Document Type Code
- V ☐ Self Declaration

Address

Line 1*

Line 2

Line 3

District* Pin/Post Code* State/U.T. Code* City / Town / Village* ISO 3166 Country Code*

☐ **4. CONTACT DETAILS** (All Communications will be sent to Mobile Number/E-mail ID provided) (Please refer instruction C at the end)

[illegible]

☐ 5. REMARKS (If any)

6. APPLICATION DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.



Signature / Thumb Impression of Applicant

[illegible]

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Equivalent e-document ☐ Video Based KYC ☐ Digital KYC Process

IN PERSON VERIFICATION (IPV) DETAILS / KYC VERIFICATION CARRIED OUT BY

[illegible]

INSTITUTION DETAILS

[illegible]

A Clarification / Guidelines on filling 'Personal Details' section

1. Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

1. In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR.
2. PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
3. State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.
4. In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
5. In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication. II is to be selected.
6. List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, schedule commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
7.	Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
8.	"Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
9.	'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
10.	REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

1. Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999)
2. Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person, if available.

E Clarification on Minor

1. Guardian details are optional for minors above 10 years of age for opening of bank account only.
2. However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BS	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

PART-I CENTRAL KYC REGISTRY I Know Your Customer (KYC) Application Form I Legal Entity/ Other than Individuals**Important Instructions:**

- A) Fields marked with '*' are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the form in English and in BLOCK letters.
 D) Please fill the date in DD-MM-YYYY format.
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end.
 H) List of two character ISO 3166 country codes is available at the end.
 I) KYC number of applicant is mandatory for update application.
 J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode

**S. No.****App ID:**

Customer ID:

For office use only

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

☐ **1. ENTITY DETAILS* (Please refer instruction A at the end)**☐ Name*

Entity Constitution Type*

☐ Others (Specify)

(Please refer instruction A at the end)

Date of Incorporation/Formation*

Date of Commencement of Business*

Place of Incorporation/Formation*

Country of Incorporation/Formation*

TIN or Equivalent Issuing Country

PAN*

☐

Form 60 furnished

TIN/GST Registration Number

☐ **2. PROOF OF IDENTITY (Pol)* (Please refer instruction B at the end)**☐ Officially valid document(s) in respect of person authorised to transact☐ Certificate of Incorporation / Formation
☐ Registration Certificate

REGN CERTIFICATE NO.

☐ Memorandum and Articles of Association☐ Partnership Deed☐ Trust Deed☐ Resolution of Board / Managing Committee☐ Power of Attorney Granted to its manager, officers or employees to transact on its behalf☐ Activity Proof- 1 (For Sole Proprietorship Only)☐ Activity Proof - 2 (For Sole Proprietorship Only)**List of documents for Activity 1 & 2 (In case of Sole Proprietorship)**

Any two of the following documents or the equivalent e-documents thereof as a proof of business/ activity in the name of the proprietary firm shall also be obtained:

- (a) Registration certificate
 (b) Certificate/licence issued by the municipal authorities under Shop and Establishment Act.
 (c) Sales and income tax returns.
 (d) (provisional/final). CST/VAT/ GST certificate
 (e) Certificate/registration document issued by Sales Tax/Service Tax/Professional Tax authorities.
 (f) IEC (Importer Exporter Code) issued to the proprietary concern by the office of DGFT or Licence/certificate of practice issued in the name of the proprietary concern by any professional body incorporated under a statute.
 (g) Complete Income Tax Return (not just the acknowledgement) in the name of the sole proprietor where the firm's income is reflected, duly authenticated/acknowledged by the Income Tax authorities.
 (h) Utility bills such as electricity, water, landline telephone bills, etc.

☐ **3. ADDRESS* (Please see instruction C at the end)****3.1 Registered Office Address / Place of Business***

Proof of Address *

☐ Certificate of Incorporation / Formation☐ Registration Certificate☐ Other Document

Line 1*

Line 2

Line 3

District*

PIN/Post Code*

State / U.T. Code*

City / Town / Village*

ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3

District*

PIN/Post Code*

State / U.T. Code*

ISO 3166 Country Code*

☐ **4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction D at the end)**

Tel. (Off)

Fax

Mobile*

Email ID*

Mobile

Email ID

A Clarification / Guidelines for filling Entity Details section

I. Entity Constitution Type

A - Sole Proprietorship	H - Trust	O - Artificial Jurisdical Person
B - Partnership Firm	I - Liquidator	P - International Organisation or Agency/Foreign Embassy or Consular Office etc.
C - HUF	J - Limited Liability Partnership	Q - Not Categorized
D - Private Limited Company	K - Artificial Liability Partnership	R - Others
E - Public Limited Company	L - Public Sector Banks	S - Foreign Portfolio Investors
F - Society	M - Central/State Government Department or Agency	
G - Association of Persons (AOP) / Body of Individuals (BOI)	N - Section 8 Companies (Companies Act, 2013)	

- In case of companies and partnerships, PAN of the entity is mandatory. In case of other entites, FORM 60 may be obtained if PAN is not available.**

B Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

- Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile number.

E Clarification / Guidelines for filling 'Related Person Details' section

- Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Proof of Address [PoA]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BS	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.

- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, please tick '✓' in the box available before the section number and strike off the sections not required to be updated.



S. No.

App ID:

Customer ID:

For office use only

(To be filled by financial institution)

Application Type*

KYC Number

☐ New

☐ Update

☐ Delete

(Mandatory for KYC update request)

☐ I DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person

☐ Deletion of Related Person

☐ Update Related Person Details

KYC Number of Related Person (if available*)

If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type*

☐ Director

☐ Promoter

☐ Karta

☐ Trustee

☐ Partner

☐ Court Appointment Official

☐ Proprietor

☐ Beneficiary

☐ Authorised Signatory

☐ Beneficial Owner

☐ Power of Attorney Holder

☐ Other (Please specify)

DIN (Director Identification Number)

(Mandatory if Related Person Type is Director)

☐ I.1 PERSONAL DETAILS (Please refer instruction E at the end)

Name* (Same as Id Proof)

Prefix

First Name

Middle Name

Last Name

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth*

Gender*

☐ M-Male

☐ F-Female

☐ T-Transgender

Nationality*

☐ IN- India

☐ Others (ISO 3166 Country Code)

PAN*

☐ Form 60 furnished

Please tick, If applicable

☐ Politically Exposed Person (PEP)

☐ Related to a Politically Exposed Person (RPEP)

☐ Not a Politically Exposed Person (PEP)

☐ Not Related to a Politically Exposed Person (RPEP)

☐ I.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number

☐ B- Voter ID Card

☐ C- Driving Licence

☐ D- NREGA Job Card

☐ E- National Population Register Letter

☐ F- Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

Address

Line 1*

Line 2

Line 3

District*

Pin/Post Code*

State/U.T. Code*

City / Town / Village*

ISO 3166 Country Code*

Photograph

Please affix your recent passport size photograph

Signature Across photograph

☐ I.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/> A- Passport Number	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>
<input type="checkbox"/> C- Driving Licence	<input type="text"/>
<input type="checkbox"/> D- NREGA Job Card	<input type="text"/>
<input type="checkbox"/> E- National Population Register Letter	<input type="text"/>
<input type="checkbox"/> F- Proof of Possession of Aadhaar	<input type="text"/>

II <input type="checkbox"/> E-KYC Authentication	<input type="text"/>
III <input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>
IV <input type="checkbox"/> Deemed PoA	<input type="text"/>
V <input type="checkbox"/> Self Declaration	<input type="text"/>

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin/Post Code*	<input type="text"/>
State/U.T. Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

I.4 CONTACT DETAILS (All communication will be sent on provided mobile no./ Email-ID) (Please refer instruction D at the end)

Tel. (Off)	<input type="text"/>	Tel. (Res)	<input type="text"/>	Mobile*	<input type="text"/>
Email ID*	<input type="text"/>				

2. APPLICATION DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I 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 aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]



Signature / Thumb Impression of Applicant

Date :

Place :

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Equivalent e-document ☐ Digital KYC Process

IN PERSON VERIFICATION (IPV) DETAILS / KYC VERIFICATION CARRIED OUT BY

Date	<input type="text"/>
Emp. Name	<input type="text"/>
Emp. Code	<input type="text"/>
Emp. Designation	<input type="text"/>
Emp. Branch	<input type="text"/>

[Employee Signature]

INSTITUTION DETAILS

Name	<input type="text"/>
Code	<input type="text"/>

[Institution Stamp]

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading and Demat Account)

A. IMPORTANT POINTS

- 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/commodities on behalf of company / firm / others.
- 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:

- Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
- PAN card with photograph.
- 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/Unique Identification Number (UID) (Aadhaar Letter).
- 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 FI/sub account, Power of Attorney given by FI/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, FIs, 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.

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

Type 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/commodities 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). Authorised signatories list with specimen signatures.
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. Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> PAN of HUF. Bank pass-book/bank statement in the name of HUF.
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.

- Note :**
- (1)* For corporate: 25% or more ownership & for other entities 15% and above implies "controlling ownership from UBO perspective".
 - (2)** For Trusts, the trustees and settlors / protectors are also to be given as UBOs
 - (3) Individual having controlling stake /UBO shall submit KYC-Part-I, separately, alongwith the copy of their aadhaar card/other proof of identity /address.

FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

I. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No
(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number*	Identification Type* (TIN or Other, please specify)
1.			
2.			
3.			

*In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

<p>I. We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)</p>	<p>GIIN <input style="width: 80%;" type="text"/></p> <p>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</p> <p>Name of sponsoring entity <input style="width: 80%;" type="text"/></p>
<p>GIIN not available (please tick as applicable)</p>	<p><input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI</p> <p><input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input style="width: 50px;" type="text"/> (Refer I A of Part C)</p>

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

<p>1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)</p>	<p>Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded)</p> <p>Name of stock exchange <input style="width: 80%;" type="text"/></p>
<p>2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)</p>	<p>Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</p> <p>Name of listed company <input style="width: 80%;" type="text"/></p> <p>Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company</p> <p>Name of stock exchange <input style="width: 80%;" type="text"/></p>
<p>3. Is the Entity an active NFE (Refer 2c of Part C)</p>	<p>Yes <input type="checkbox"/> Nature of Business <input style="width: 80%;" type="text"/></p> <p>Please specify the sub-category of Active NFE <input style="width: 50px;" type="text"/> (Mention code – refer 2c of Part C)</p>
<p>4. Is the Entity a passive NFE (Refer 3(ii) of Part C)</p>	<p>Yes <input type="checkbox"/> Nature of Business <input style="width: 80%;" type="text"/></p>

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category):

<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership Company
<input type="checkbox"/> Unincorporated association / body of individuals	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust
<input type="checkbox"/> Others (please specify <input style="width: 150px;" type="text"/>)	<input type="checkbox"/> Private Trust	

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN [#]			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) ^{\$}			

* To include US, where controlling person is a US citizen or green card holder

If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

% In case Tax Identification Number is not available, kindly provide functional equivalent

\$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Signatureglobal Comtrade Private Limited for any modification to this information promptly.

For Investor convenience, Signatureglobal Comtrade Private Limited (SGCPL) collecting this mandatory information for updating across all Group Companies of SGCPL whether you are already an investor or would become an investor in future.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	



Sole/First Authorised Signatory

Place _____



Second Authorised Signatory



Third Authorised Signatory

Date ____/____/____

*For Detail Terms & Conditions please visit www.signatureglobaltrade.com-Download Section

PART-II TRADING & DEPOSITORY ACCOUNT RELATED DETAILS FOR INDIVIDUALS & NON-INDIVIDUALS



**SIGNATURE
GLOBAL**

Signatureglobal Comtrade Private Limited

CIN : U74899DL2002PTC362495

DP ID: I2095400

Redg. Add: 13th Floor, Dr. Gopal Das Bhawan, 28 Barakhamba Road, Connaught Place, New Delhi-110001

Corp. Add: 230 -232 D-Mall, Netaji Subhash Place, Pitampura, Delhi - 110034

Telephone: 011-45114511 | Email: backoffice@signatureglobaltrade.com | Website : www.signatureglobaltrade.com

CLIENT ID									
Unique Client Code (UCC)									

I/We request you to open a ☐ Trading & Demat Account ☐ Trading Account ☐ Demat Account in my/our name as per the following details:

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status	Sub – Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <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
SEBI Registration No. (if applicable)	SEBI Registration Date
RBI Registration No. (if applicable)	RBI Approval Date
ROC Registration No. (if applicable)	ROC Registration Date
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other(specify) _____

DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Aadhaar Number (UID)			
UCC Code	Exchange Name & ID: _____		
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Government Service <input type="checkbox"/> Other (please specify) _____	<input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Government Service <input type="checkbox"/> Other (please specify) _____	<input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Government Service <input type="checkbox"/> Other (please specify) _____
Brief details			
Sources of Wealth / Income	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Royalty <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Royalty <input type="checkbox"/> Rental Income <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Royalty <input type="checkbox"/> Rental Income <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others (Please specify) _____
Nature of Business	<input type="checkbox"/> Agriculture <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Trading Firm <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Others _____	<input type="checkbox"/> Agriculture <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Trading Firm <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Others _____	<input type="checkbox"/> Agriculture <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Trading Firm <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Others _____

Mobile Number Declaration E-mail Declaration <small>(*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)</small>	I hereby declare that the Mobile number as per CKYC belongs to: <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert Facility <input type="checkbox"/> Yes <input type="checkbox"/> No <small>[Mandatory, if account to be operated through Power of Attorney].</small>	I hereby declare that the Mobile number as per CKYC belongs to: <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert Facility <input type="checkbox"/> Yes <input type="checkbox"/> No <small>[Mandatory, if account to be operated through Power of Attorney].</small>	I hereby declare that the Mobile number as per CKYC belongs to: <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert Facility <input type="checkbox"/> Yes <input type="checkbox"/> No <small>[Mandatory, if account to be operated through Power of Attorney].</small>
E-mail Declaration <small>(*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)</small>	I hereby declare that the Email Id as per CKYC belongs to: <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Email Id as per CKYC belongs to: <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Email Id as per CKYC belongs to: <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents
Education	<input type="checkbox"/> High School <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional <input type="checkbox"/> Others _____	<input type="checkbox"/> High School <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional <input type="checkbox"/> Others _____	<input type="checkbox"/> High School <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional <input type="checkbox"/> Others _____
Income Range Per Annum *	<input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25-1 Crore <input type="checkbox"/> More than ₹1 Crore	<input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25-1 Crore <input type="checkbox"/> More than ₹1 Crore	<input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25-1 Crore <input type="checkbox"/> More than ₹1 Crore
Networth *: (should not be older than 1 year)	Amount (Rs.) _____ As on Date: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Amount (Rs.) _____ As on Date: _____	Amount (Rs.) _____ As on Date: _____
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 a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (RPEP)
FATCA & CRS DECLARATION - (FOR INDIVIDUAL)			
Is your Tax Residency/ Country of Birth/ Citizenship/ Nationality other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____
If yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below:			
Country of Tax Residency# Tax Identification Number* Identification Type	_____ _____ _____	_____ _____ _____	_____ _____ _____
#To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA & Canada. *Incise tax identification number is not available, kindly provide its functional equivalent			
Any other information			

*Networth is compulsory for Non-Individual client. Income Range Compulsory for all clients.

For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:


Name	PAN										
------	-----	--	--	--	--	--	--	--	--	--	--

GUARDIAN DETAILS (where sole holder is a minor) :

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name	PAN										
Relationship of guardian with applicant											

IN CASE OF NRI's/Foreign National/FII's/OCB/OTHERS (As may be applicable)

RBI Approval Reference No.		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration No. (For FII's)										
Please attach copy of permission for dealing in securities/commodities from authorised dealer (bank) - RBI Approval										
With reference to my/our Demat account maintain with Signatureglobal Comtrade Private Limited, I/We hereby confirm that I/We have complied with, and shall continue to comply with Foreign Exchange Management Act (FEMA), 1999 and Rules & Regulations issued thereunder and other applicable laws .		 Signature of Client								

CLEARING MEMBER DETAILS (To be filled by Clearing Members only) FOR DEMAT ACCOUNT

Name of the Stock Exchange		Name of Clearing Corporation/Clearing House	
Clearing Member ID		SEBI Registration No.	
Trade Name		CM BP - Id (to be filled up by DP)	

BANK ACCOUNT(S) DETAILS

Sr.	Bank Name	Branch Address & Pin Code	Type of Bank Account / A/c No.	MICR Code										
1.			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ No. _____	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> IFSC Code _____										
	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ No. _____	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> IFSC Code _____												
2.			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ No. _____	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> IFSC Code _____										
	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ No. _____	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> IFSC Code _____												

*Copy of cancelled cheque with MICR & IFSC Code is required. Bank details at serial no. I will be mapped with demat a/c to be opened, if any.

DEPOSITORY ACCOUNT(S) DETAILS

[illegible]















* If demat account(s) to be mapped is/are already opened then Copy of client master or latest statement of holding is required.

G.S.T. Registration Details (As applicable)

Sr.No.*	State	GST Registration Number
1.		
2.		

*Please attach copy of GST Registration Certificate.

TRADING/DEMAT PREFERENCES (*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.)

Exchange	SEGMENT				
	CASH	F & O	CURRENCY	MFSS/ BSE StAR	COMMODITY
NSE					
BSE					
MCX					
DP-CDSL	  				

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

ADDITIONAL DETAILS/ STANDING INSTRUCTIONS (Please tick Relevant)

I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	<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 instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We wish to receive dividend/interest directly into my/our Bank A/c 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
I/We request you to send Electronic Transaction-Cum-Holding Statement through E-mail	<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
E-mail Alert Facility	<input type="checkbox"/> Yes <input type="checkbox"/> No
Consent to avail of the facility of internet trading / wireless technology	<input type="checkbox"/> Yes <input type="checkbox"/> No
SMS Alert Facility at Mobile Number as specified in CKYC Form of Ist/Sole Holder. (if POA is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> Yes <input type="checkbox"/> No
To register for Easi, please visit website www.cdsindia.com [Easi allows a BO to view his ISIN balances, transactions, and value of the portfolio online.]	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Mode of receiving the Right & Obligations for DP & other standard documents	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
Mode of receiving Contract Notes (ECN) & Statement of Accounts	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
Mode of receiving your executed KYC document in	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
I/We would like to receive the annual report (If not marked, default option will be 'Physical')	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both
Mode of CAS	<input type="checkbox"/> Physical CAS required <input type="checkbox"/> CAS not required
Account statement requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> Daily
I/we would like to avail BSDA (Basic Service Demat Account) Facility	<input type="checkbox"/> Yes <input type="checkbox"/> No
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of <input type="checkbox"/> Company <input type="checkbox"/> Firm <input type="checkbox"/> Others _____	
Any other information	

DEALINGS THROUGH OTHER TRADING MEMBERS

If client is dealing through any other Trading Member, provide the following details (in case dealing with multiple Trading Members/AP's, provide details of all in a separate sheet containing all the information as mentioned below:

Member's / AP's Name		Client Code							
Exchange		Exchange Regn. No.							
Concern Members Name with whom the AP is Registered									
Registered Office Address		City/Town/Village		PIN Code					
		State		Country					
Ph.		Fax		Email		Website			
Details of disputes/dues pending from/to such Member/AP:									

INVESTMENT/TRADING EXPERIENCE & PREFERENCE

☐ No Prior Investment Experience ☐ Years in Equities ☐ Years In Derivatives ☐ Years In Commodities ☐ Years in other Investment Related Field

PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities/commodities during the last 3 years : ☐ Yes ☐ No if yes, Mention Details.....

INTRODUCER DETAILS (Optional)

Name of the Introducer											
Status of the Introducer	<input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify										
Address of Introducer											
	City/Town/Village							PIN Code			
	State				Country						
Phone No.						Signature of the Introducer					
Client Code/Client ID (if Existing Client)											

MOBILE NUMBER AND E-MAIL ID DECLARATION (For Non-Individual)

I hereby declare that the Mobile No. mentioned on KYC Part-I belongs to _____

PAN who is the Karta/Partner/Director/Authorized Signatory/Trustee of the HUF/Firm/Company/Trust

I hereby declare that the Email Id mentioned on KYC Part-I belongs to _____

PAN who is the Karta/Partner/Director/Authorized Signatory/Trustee of the HUF/Firm/Company/Trust

Option for issuance of Delivery Instruction Slip (DIS) booklet along with account opening*(Please tick (✓) any one)




☐ Option I

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 Signature Global Comtrade Private 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.

☐ Option I

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 Signature Global Comtrade Private 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 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.

SIGNATURES OF ALL HOLDERS

Signature of Sole/ First Holder/ Guardian/Karta/ Auth. Signatory	
Signature of Second Holder / Auth. Signatory	
Signature of Third Holder / Auth. Signatory	

DECLARATION

- I/We hereby declare that the Rules, Regulations and By-laws of the Depository, Depository Participants, SEBI, Stock Exchanges & Stock Broker pertaining to an account which are in force now have been read by me / us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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/We am/are aware that I/we may be held liable for it.
- I/We confirm having read 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) (Depository & Trading) and 'Risk Disclosure Document' (Trading). I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/We hereby acknowledge the receipt of Rights and Obligations of Stock Brokers, Authorised person and Clients (Trading) and also Rights and Obligations of the Beneficial Owner and Depository Participant. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website.
- I/We hereby declare that the client id allotted to me/us for depository account opened by you as per this application form be mapped with my/our trading account opened as per this application form as my/our primary depository account and other depository account, if any, mentioned above as my/our additional depository account.
- I/we understand that the Stock Broker/DP is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker/DP is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CDDT or close or suspend my account.
- I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. 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.
- I/we am/are hereby submitting self-certified Aadhar copy with my/our due consent for opening the above said account associated to my investment with the company.

Place : _____

Date : _____

FOR OFFICE USE ONLY

UCC Code allotted to the Client	Client ID
<p>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, for the information of the clients.</p>	
Date : _____	<p>Signature of the Authorised Signatory of Signatureglobal Comtrade Private Limited with Seal & Stamp</p>

INSTRUCTIONS / CHECK LIST

Additional documents in case of trading in derivatives segments - illustrative list:	
Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form I6	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 Company need to be provided by the client from time to time.

Bank Proof: Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

Demat Proof: Demat master or recent holding statement issued by DP bearing name of the client.

For Non Individuals: (i) Form need to be initialised by all the authorized Signatories.

- (ii) Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities/commodities on behalf of company/firm/others and their specimen signatures.

In-person Verification:

For Individuals:

- (i) Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/authorised person's office.
- (ii) 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.

NOTES :

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

NOMINATION FORM (Please fill either Annexure- A or Annexure-B, given below)

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

NOMINATION DETAIL

Nomination Registration No. : 										Date : D D M M Y Y Y Y Y Y																			
UCC (Trading Code) 										DP ID 1 2 0 9 5 4 0 0										Client ID 									
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]																													
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our death.																													
Nomination can be made upto three nominees in the account.										Details of 1st Nominee					Details of 2nd Nominee					Details of 3rd Nominee									
1 Name of the nominee(s) (Mr./Ms.)																													
2 Share of each Nominee										%					%					%									
Equally <input type="checkbox"/> <small>[If not equally, please specify percentage]</small>										Any odd lot after division shall be transferred to the first nominee mentioned in the form.																			
3 Relationship With the Applicant (If Any)																													
4 Address of Nominee(s)																													
PIN Code																													
5 Mobile/Telephone No. of Nominee(s)																													
6 Email ID of Nominee(s)																													
7 Nominee Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature										Photograph of 1st nominee <div style="border: 1px solid black; padding: 5px; transform: rotate(-15deg); display: inline-block;">Signature of Nominee across photograph</div>					Photograph of 2nd nominee <div style="border: 1px solid black; padding: 5px; transform: rotate(-15deg); display: inline-block;">Signature of Nominee across photograph</div>					Photograph of 3rd nominee <div style="border: 1px solid black; padding: 5px; transform: rotate(-15deg); display: inline-block;">Signature of Nominee across photograph</div>									
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																													
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																													
8 Date of Birth {in case of minor nominee(s)}										D D M M Y Y Y Y Y Y					D D M M Y Y Y Y Y Y					D D M M Y Y Y Y Y Y									
9 Name of Guardian (Mr./Mrs.) {in case of minor nominee(s)}																													
10 Address of Guardian(s)																													
PIN Code																													
11 Mobile/Telephone No. of Guardian																													
12 Email ID of Guardian																													
13 Relationship of Guardian with Nominee																													

I4 Guardian Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 10px auto;">Signature</div>	Photograph of 1st Guardian <div style="border: 1px solid black; padding: 10px; text-align: center; transform: rotate(-5deg);">Signature of Guardian across photograph</div>	Photograph of 2nd Guardian <div style="border: 1px solid black; padding: 10px; text-align: center; transform: rotate(-5deg);">Signature of Guardian across photograph</div>	Photograph of 3rd Guardian <div style="border: 1px solid black; padding: 10px; text-align: center; transform: rotate(-5deg);">Signature of Guardian across photograph</div>	
	<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			

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/60I dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

<input type="checkbox"/> DECLARATION FORM FOR OPTING OUT OF NOMINATION		Date <table border="1" style="display: inline-table;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			
UCC (Trading Code)		DP ID		Client ID						
Sole/First Holder Name										
Second Holder Name										
Third Holer Name										
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / 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 trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.										
Signature of All Holder's										
Signature of Sole / First Holder		Signature of Second Holder		Signature of Third Holder						
Signature of Witness for Nomination*										
Name of the Witness		Address		Signature of Witness						

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

Note:- This Nomination shall supersede any prior nomination made by the account holder(s), if any

NOTES : Instructions related to nomination, are as below:

- I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly and singly by the sole/first holder in case of trading account. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- III. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- IV. Nomination in respect of the beneficiary owner account/trading account stands rescinded upon closure of the beneficiary owner account/trading account. Similarly, the nomination in respect of the funds/securities/commodities shall stand terminated upon transfer of the funds/securities/commodities.
- V. Transfer of funds/securities/commodities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant/exchange(s) against the legal heir.
- VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts/trading account on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository/exchange(s) shall not be under any obligation to transfer the funds/securities/commodities in favour of the Nominee(s).
- VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM IO at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
- XI. Savings bank account details shall only be considered if the account is maintained with the same participant.
- XII. DP ID and client ID shall be provided where demat details is required to be provided.

TARIFF SHEET

NSE / BSE / MCX

ITEM	Brokerage(%)	Min (Rs.)	(Rs./Lot)
A/c Opening Charges (Including GST)	Nil		
Equity Delivery			N.A.
Equity Intraday			N.A.
Equity Future			N.A.
Equity Stock Option	N.A.	N.A.	
Equity Bank Nifty Option	N.A.	N.A.	
Equity Nifty Option	N.A.	N.A.	
Equity Currency Future			N.A.
Equity Currency Option	N.A.	N.A.	
Commodity Delivery			N.A.
Commodity Futures			N.A.
Commodity Options (Others)	N.A.	N.A.	
Commodity Options (Silver and Copper)	N.A.	N.A.	
Commodity Options (Gold)	N.A.	N.A.	
Mutual Funds / Liquid Bees	Nil		
Delayed Payment Charges	1.5% per month		
GST*	18%		

OTHER CHARGES

Particulars	Capital Market (Cash) Segment		Equity Derivatives Segment		Currency Derivatives Segment		Commodity Derivatives Segment	
	Delivery	Jobbing	Futures	Options	Futures	Options	Futures	Options
Other Charges (%)								
Other charges represents a consolidated charge towards providing various value-added services such as Trade Confirmation SMS, electronic account access, portfolio tracker, access to research reports, market news SMS and towards defraying Member's Statutory/Regulatory liability for the client's trades.								
*GST	As per the provisions of GST Act 2017 and as amended from time to time.							
STT / CTT	As per the provisions of STT / CTT Act and as amended from time to time.							
Stamp Duty	As per provisions of the Indian Stamp (Collection of Stamp-Duty through Stock Exchanges, Clearing Corporations and Depositories) Rules, 2019 and as amended from time to time.							
Other Taxes	As may be applicable from time to time.							

In case copy of any report/contract note in physical form is required by the client, client shall be charged Rs. 25/- per Contract Note & Rs. 100/- per report per financial year. GST & postal charges, as applicable, shall be extra.

I/We hereby agree with the charges and Brokerage Terms & Conditions mentioned above.

Signature of Client



SIGNATUREGLOBAL COMTRADE PRIVATE LIMITED

SCHEDULE OF CHARGES

CDSL DP

Scheme	Scheme 1 (Regular Account)	Scheme 2 (For Corporate Clients)	Scheme 3 (BSDA)	Scheme 4 (Rs. 2000 in advance which is refundable/ adjusted on closure of A/c and/or change of scheme)#
1. Acc. Opening Charges	NIL	NIL	NIL	NIL
2. Acc. Maintenance Charges	Rs. 350/- p.a.	Rs. 1500/- p.a. (inc. Rs. 500/- charged by CDSL)	Free-If Valuation is , <50,000 Rs., 100/- Valuation is . 50,001 <200,000	NIL
3. Advance Payment	Rs. 500/-	Rs. 2000/-	Rs. 500/-	Rs. 2500/-
4. Dematerialisation Charges	Rs. 2/- per certificate + Rs. 25/- for Courier or Actual whichever is higher	Rs. 2/- per certificate + Rs. 25/- for Courier or Actual whichever is higher	Rs. 2/- per certificate + Rs. 25/- for Courier or Actual whichever is higher	Rs. 2/- per certificate + Rs. 25/- for Courier or Actual whichever is higher
5. Rematerialisation Charges	Rs. 20/- per every 100 securities or part thereof; or a flat fee of Rs. 20/- per Certificate whichever is higher will be payable.	Rs. 20/- per every 100 securities or part thereof; or a flat fee of Rs. 20/- per Certificate whichever is higher will be payable.	Rs. 30/- per every 100 securities or part thereof; or a flat fee of Rs. 30/- per Certificate whichever is higher will be payable.	Rs. 20/- per every 100 securities or part thereof; or a flat fee of Rs. 20/- per Certificate whichever is higher will be payable
6. Transaction Charges (per Debit transaction)	Rs. 12/- All charges payable upfront.	Rs. 12/- All charges payable upfront.	Rs. 20/- All charges payable upfront.	Rs. 12/- All charges payable upfront.
7. Margin Pledge Charges (per transaction) Creation Invocation	Rs. 12/-	Rs. 12/-	Rs. 12/-	Rs. 12/-
8. Pledge Charges (per transaction) Creation Invocation / Closure	Rs. 50/-	Rs. 50/-	Rs. 50/-	Rs. 50/-
9. Freeze / Un Freeze	Rs. 25/- per instance	Rs. 25/- per instance	Rs. 25/- per instance	Rs. 25/- per instance
10. Mutual Fund / Desat / Redemption	Rs. 30/- per instance	Rs. 30/- per instance	Rs. 30/- per instance	Rs. 30/- per instance

In addition to the above the following out of pocket expenses shall also be charged.

1. Instruction Booklet : Rs. 10/- containing 10 leave. (First Booklet is Free)
2. Failed Instruction Intimation : Rs. 20/- per intimation per instruction.
3. Additional Statement of Holding/ Transaction : Rs. 2/- per page + postage/ courier charges.
4. Non periodic statement & other communications shall be charged @ Rs. 20/- per mail.
5. Charges are subject to revision at Depository Participant's sole discretion by giving 30 days notice and shall be informed by circulars sent by ordinary post/ press advertisement/ Electronic Communication/ courier/ personal messenger/ website (website means www.signatureglobaltrade.com or its pages and links and/or any other website(s) / links/ pages/ applets Participant may inform from time to time).
6. In case of demat rejection postage shall be charged @ Rs.30/- for dispatch to the client for removal of objection.
7. Any other services not specified above shall be charged extra.
8. Any modification in client master will be charged @ Rs.20/- per modification.
9. Customer agrees and authorise Signatureglobal Securities Pvt. Ltd. to recover outstanding amount appearing in the Demat account from the respective Trading Account.
10. Signatureglobal Comtrade Private Limited may suspend/ freeze the depository services of the account holder on non payment of Outstanding bill till the time outstanding DP service charges is received.
11. Eligibility criteria for BSDA shall be evaluated at the end of ever billing cycle. If the valuation of holding in BSDA account exceeds the prescribed criteria at any date, AMC shall be applicable as is there for regular accounts, from the date onwards.
12. Taxes and other government levies extra as applicable from time to time.

Applicable AMC @ Rs. 350 p.a. will be charged, if the A/c is closed and/or the Scheme is changed within 1 year of the date of account opening.

☐ I/ We do not wish to open my/ our account under Scheme 3(BSDA).

Scheme Opted

☐ Scheme-1

☐ Scheme-2

☐ Scheme-3

☐ Scheme-4

I/We have been explained with the criteria & services that shall be provided under BSDA. I/We have made our choice and have ticked above.



Signature of Sole / First Holder



Signature of Second Holder



Signature of Third Holder

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, Mumbai 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. "Alerts" 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 depository in the prescribed manner any change in mobile number, or 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 timeliness 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 not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting 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 sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by 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 BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service 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 provider such information pertaining to account/transactions in my/our account as is 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 pay 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 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).

BO ID	1	2	0	9	5	4	0	0										
	(Please write your 8 digit DPID)								(Please write your 8 digit Client/BO ID)									
Sole / First Holder's Name																		
Second Holder's Name																		
Third Holder's Name																		
Mobile Number on which messages are to be sent	+	9	1															
(Please write only the mobile number without prefixing country code or zero)																		
The mobile number is registered in the name of																		
E-mail ID																		
(Please write only ONE valid email ID on which communication; if any, is to be sent)																		
 Signature of First Holder						 Signature of Second Holder						 Signature of Third Holder						
Place											Date							

MUTUAL FUND FACILITY

Date : _____

To

Signatureglobal Comtrade Private Limited

Redg. Add: 13th Floor, Dr. Gopal Das Bhawan, 28 Barakhamba Road, Connaught Place, New Delhi-110001

Corp. Add: 230 -232 D-Mall, Netaji Subhash Place, Pitampura, Delhi - 110034

Telephone: 011-45114511 | Email: backoffice@signatureglobaltrade.com | Website : www.signatureglobaltrade.com

Sub : Mutual Fund Service System (MFSS)Facility/ BSE StAR Mutual Fund Facility & other MF approved platform.

Sir,

I/We _____ am/are registered as your client with UCC No. _____

for the purpose of trading in the Capital Market segment and/or Derivatives segment. I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and/or BSE StAR MF and/or other MF. For the purpose of availing these facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of this facility and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated November 24, 2009, BSE circular dated December 2, 2009 and as may be specified by the Exchanges from time to time in this regard. I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. I/we agree and authorize you to issue payment on my behalf by debiting my account with the value of my/our transactions along with charges.

I/we therefore request you to register me/us as your client for participating in mutual fund trading facility of exchanges.

Details of terms & conditions for the Investor / Client for using MFSS facility BSE StAR MF & other MF Platform

- I. Pre-requisites for becoming Investor / Client for the MFSS facility/ BSE StAR MF /other MF platform.
 - I.1. The client who is desirous of investing in units of mutual fund schemes through the MFSS /BSE StAR /other MF platform.
 - I.2. The Client intends to execute his instruction for the subscription/ redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the MFSS /BSE StAR /other MF platform
 - I.3. The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transacting through the MFI.
 - I.4. The Client has approached to the MFI with the application for availing the MFSS facility/BSE StAR/other MF platform
 - I.5. The client has submitted relevant KYC (Know Your Client) details to the MFIs
2. **Terms and Conditions**
 - 2.1. The client shall be bound by circulars/ notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL/BSE and rules, regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
 - 2.2. The client shall notify the MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the MFSS / BSE STAR/other MF platform or at any time thereafter.
 - 2.3. The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of the Exchanges, SEBI and AMFI.
- 2.7. The Client shall pay to the MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that MFI renders to the Client.
- 2.8. The client will furnish information to the MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of non-performance of the obligation by the MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL), other exchanges/Clearing Corporation.
- 2.10. In case of any dispute between the MFIs and the investors arising out of the MFSS facility/ BSE StAR/other MF platform, exchanges and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Signature of Client



Client Name _____

SELF DECLARATION - CATEGORIZATION OF THE CLIENTS FOR EACH COMMODITY (Only for MCX)

Date : _____

To

Signatureglobal Comtrade Private Limited**Redg. Add:** 13th Floor, Dr. Gopal Das Bhawan, 28 Barakhamba Road, Connaught Place, New Delhi-110001**Corp. Add:** 230 -232 D-Mall, Netaji Subhash Place, Pitampura, Delhi - 110034

Telephone: 011-45114511 | Email: backoffice@signatureglobaltrade.com | Website : www.signatureglobaltrade.com

Sub: SELF DECLARATION FOR COMMODITY WISE CATEGORIZATION

Dear Sir,

I/We am/are dealing through you as a client in Commodities and Equities. As per the SEBI circular SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 date January 04, 2019 as well as circulars from MCX Exchange and for your records. I hereby give my consent to categorize me/us Commodity wise by tick marking () in appropriate places as detailed below:

Commodity#	Categories of Participants *					
	Farmers / FPOs	Value Chain Participants (VCPs)	Proprietary Traders	Domestic Financial Institutional Investors	Foreign Participants	Others

I/We undertake that I/we shall inform the member broker in case there is any change in category for any of the exchange traded commodity.

* Category of the participants (Please tick the appropriate one commodity wise)

Commodities like Gold ,Silver, Crude Oil, Natural Gas, Brass, Copper, Zinc, Nickel, Aluminum, Lead ,Black pepper, Cotton, Cardamom, Castor Seed, CPO, etc.,

Signature of Client



Client Name

Client Code

Farmers/FPOs	It includes participants such as farmers, farmers cooperatives, Farmers Producers Organizations (FPOs) and such entities of like nature.
Value Chain Participants (VCPs)	It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
Proprietary Traders	It includes the members of stock exchanges trading in their proprietary account.
Domestic Financial Institutional Investors	It includes participants such as Mutual Funds (Mfs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives
Foreign Participants	It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets
Others	All other participants which cannot be classified in the above categories

OPEN INTEREST DECLARATION

Sub : My/Our request for trading in Commodity forward Contracts/Commodity Derivatives on MCX as your Client.

UCC :

Dear Sir,

I/We, the undersigned, have taken cognizance of circular no. TRADING-114/2006/247 dated September 28, 2006 issued by the Circular MCX/300/2006 and MCX/338/2006 dated August 1, 2006 & August 21, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circular of MCX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on MCX only on the basis of our above assurances and undertaking.

Client Name _____

Signature of Client



Client Code _____

VERBAL ORDER ACCEPTANCE AUTHORISATION

To

Date : _____

Signatureglobal Comtrade Private Limited

Redg. Add: 13th Floor, Dr. Gopal Das Bhawan, 28 Barakhamba Road, Connaught Place, New Delhi-110001

Corp. Add: 230 -232 D-Mall, Netaji Subhash Place, Pitampura, Delhi - 110034

Telephone: 011-45114511 | Email: backoffice@signatureglobaltrade.com | Website : www.signatureglobaltrade.com

Sub.: VERBAL ORDER ACCEPTANCE AUTHORISATION

Dear Sir,

I/We have been / shall be dealing through you as my/ our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments/Currency Derivative Segments / Commodity Derivative Segments. As my/our broker I/we direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We agree and acknowledge that it is advised and prefer you that I/We give instructions for order placement/ modification and cancellation in writing and to avoid disputes, I/we must give instructions in format available with you in duplicate (carbon copy/ photocopy) and take signatures of your duly authorized officers at the branch along with your company stamp on the carbon/photocopy of the instructions in acknowledgment of receipt of my/our instructions.

However, as I/ We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my / our authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same.

Further I/We also authorize you to accept our trade request on SMS /Email ID /WhatsApp or any other mode which is feasible.

I /We understand the risk associated with verbal orders and I/We shall be liable for all risks, losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

I/We have signed/submitted this document at my/our own volition.

Client Name _____

Signature of Client



Client Code _____

ECN DECLARATION / AUTHORISATION

Date : _____

To

Signatureglobal Comtrade Private Limited

Redg. Add: 13th Floor, Dr. Gopal Das Bhawan, 28 Barakhamba Road, Connaught Place, New Delhi-110001

Corp. Add: 230 -232 D-Mall, Netaji Subhash Place, Pitampura, Delhi - 110034

Telephone: 011-45114511 | Email: backoffice@signatureglobaltrade.com | Website : www.signatureglobaltrade.com

Sub : Authorization for receiving Electronic Contract Notes (ECN's) and any documents/communications in electronic form by E-mail from Stock Broker and Depository Participant display on Website

Sir,

I/We _____ a client with Member

M/s. Signatureglobal Comtrade Pvt. Ltd. (SGCPL) of NSE/BSE/MCX Exchange undertake as follows:

- I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I/ We myself want the same in the electronic form.
- I/We am/are 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/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
- My/Our email id is _____. This has been created by me/us and not by someone else. (The email ID must be written in own handwriting of the client)
- I/we authorize SGCPL to issue me/us electronic contract notes (ECN's), bills, trade confirmations, ledgers, daily margin statements, statement of accounts for periodical settlement of funds and securities, any notices, circulars, amendments and such other correspondence or communication related to my/our trading account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 and the rules made there under to the E-mail ID as mentioned above.
- I/We authorize SGCPL to issue me bills, ledgers, monthly/quarterly/yearly demat transaction cum holding statements, any notices, circulars, amendments and such other correspondence or communication related to my demat account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000.
- I/We understand that wherever the e-mails have not been delivered to me or has been rejected (bouncing of mails) from the e-mail ID of mine, SGCPL would send physical document to me. I further hereby agree that SGCPL have fulfilled the legal obligation, if the above documents are sent electronically to the abovementioned email ID. I agree that SGCPL will not be responsible for non-receipt of documents sent via electronic delivery due to change in email address or for any other reason which inter alia include my email/inbox running out of capacity, malfunction of my computer system/server/internet connection, mails received by frauds/imposters etc. I also agree that SGCPL shall not take cognizance of out-of office/ out-of-station auto replies and I shall be deemed to have received such electronic mails.
- I shall inform SGCPL in writing if there is any change in my registered e-mail ID.
- I/We also understand that the above instruction will remain valid from the date of signing of this Authorization until it is revoked by me/us in writing.
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above Email ID.

[The above declaration has 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]

Thanking you,

Yours faithfully

.....

Sole/First Authorised Signatory

.....

Second Authorised Signatory

.....

Third Authorised Signatory

RUNNING ACCOUNT AUTHORISATION

To

Date : _____

Signatureglobal Comtrade Private Limited

Redg. Add: 13th Floor, Dr. Gopal Das Bhawan, 28 Barakhamba Road, Connaught Place, New Delhi-110001

Corp. Add: 230 -232 D-Mall, Netaji Subhash Place, Pitampura, Delhi - 110034

Telephone: 011-45114511 | Email: backoffice@signatureglobaltrade.com | Website : www.signatureglobaltrade.com

Sub : RUNNING ACCOUNT AUTHORISATION

UCC: _____

Sir,

I/We have been / shall be dealing through you as my/our Broker on various equity/commodity exchange(s) such as NSE/BSE/MCX and I / we further authorize you to follow these instructions across exchanges & across segments in which I / we have already opened accounts with you or I/We may open account in future. As my/our Broker i.e. agent I/we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

- I/am/We are aware that you and I/we have the option to make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds. Further, I/we also desire to use my/our funds as margin without which I/We cannot deal/trade.
- Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these funds from running accounts and make pay-in of funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive funds in settlement of trades/ dealings please keep the funds with you and make credit entries for the same in running accounts of funds maintained by you for the purpose of any obligations due to me/us. In view of the same it would be proper for you to release the funds due to me/us on my/our specific, either written or verbal instructions. Further, the funds can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion please treat my/our funds lying to my/our credit in running accounts as margin for my/our dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you. Further I/We understand and agree that any credit amount with you will not attract any interest.
- In the event I/we have outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. You may also retain such other funds as may be specified by the exchanges from time to time. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds displaying all receipts/payments of funds. Please explain in the statement(s) being sent the retention of funds and the details of the pledged securities, if any.
- I/We agree that I/we shall bring any discrepancy(ies)/dispute in the/arising from the statement of retention of funds or statement of funds or settlement so made to your notice, preferably, within 30 working days from the date of receipt of funds or statement of retention of funds, as the case may be, in writing, through Registered A.D./Speed Post at your corporate office or through email at backoffice@signatureglobaltrade.com from my/our registered email id. Further, do not carry out settlement of running account referred to above for funds given by me/us towards margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).
- Notwithstanding anything contained anywhere in the above authorization signed by me/us, this Running Account Authorisation shall not be applicable in case of any purchases of securities in cash segment or in F&O segment (under physical settlement) and transferred to Client Unpaid Securities Account (CUSA). The securities lying in the CUSA shall be settled as per the rules, regulations & guidelines of the exchanges/SEBI.
- I/We further agree that the funds shall be returned to me/us if I/we have not done any transaction in the 30 calendar days since the last transaction, within three working days irrespective of the date when the running account was previously settled or within the period as may be specified by SEBI/Exchanges from time to time.
- Please further note that while I/We am/are entitled to revoke this authorisation at any time, by sending signed physical letter of revocation, through post / courier at your above mentioned address.
- I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/funds under this agreement.
- My/Our preference for actual settlement of funds is at least:

☐ **Once in a Calendar Quarter**

☐ **Once in a Calendar Month**

Thanking you,
Yours faithfully,

Signature
of Client



Name :

Date :

VOLUNTARY TERMS AND CONDITIONS (EQUITY & COMMODITY)

Date : _____

To

Signatureglobal Comtrade Private Limited

Redg. Add: 13th Floor, Dr. Gopal Das Bhawan, 28 Barakhamba Road, Connaught Place, New Delhi-110001

Corp. Add: 230 -232 D-Mall, Netaji Subhash Place, Pitampura, Delhi - 110034

Telephone: 011-45114511 | Email: backoffice@signatureglobaltrade.com | Website : www.signatureglobaltrade.com

Sir,

I / We have been / shall be dealing through you as my / our broker on the Capital Market and / or Futures & Options Segments / Currency Derivative Segments/Commodity Derivative Segments. As my / our broker i.e. agent I / we direct and authorise you to carry out trading / dealings on my / our behalf as per instructions / authorisations given below.

AUTHORITY TO PLEDGE THE SHARES / SECURITIES: I/We am/are aware that securities can be deposited by me/us to you as collateral ("Said Securities") towards my/our margin requirement. I/We am/are further aware that Said Securities can be further deposited by you with Exchanges/ Clearing Members/ Clearing Corporations of Equity and Commodity Exchanges provided authorization from client has been obtained by the Member. Accordingly, I/We hereby authorise you to deposit the Said Securities as collateral with Exchanges/ Clearing Members/ Clearing Corporations of Equity and Commodity Exchanges and mark the pledge in favour of the Exchanges/Clearing Members/Clearing Corporations of Equity and Commodity Exchanges. In this regard, I/We confirm/declare as under:

- (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) that the Said Securities will be subject to the creation of pledge in favour of or for the benefit of Exchange/ Clearing Member/ 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 Exchange/ Clearing Member/ Clearing Corporation would likewise be unencumbered, absolute and disposable property of the client.
- (iii) that Signature Global Comtrade Private Limited 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) that the Said Securities shall be subject to the first priority and lien in favour of Exchange/ Clearing Member/ 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 Exchange/ Clearing Member/ Clearing Corporation in respect of the Said Securities.
- (v) that Exchange/ Clearing Member/ Clearing Corporation may invoke the pledge without any reference to or permission of the client and upon receipt of the Said Securities, Exchange/ Clearing Member/ 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 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 hereby confirm that I/we have read the terms and conditions to this effect and fully aware of the consequences of the same.

I/We understand and agree that no interest will be payable to me/us on the amount/funds so retained with you.

Electronic Trading:

Trading of NSE/NSE/MCX is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems glitch.

Fines & Penalties:

All fines/penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my account.

Charges & Balance Maintenance:

I/We have a Trading As well as depository relationship with Signature Global Comtrade Private Ltd. Please debit the charges relevant with depository services and courier charges for sending physical contract notes & other documents from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

Authorisation to sell off securities:

I/We understand that in case of my/our failure to make the funds pay in or delivery of securities for my/our deals/trading by designated day, you are entitled to sell off in the market the securities received in pay out and/or deem our positions closed out at applicable rates.

Log Report:

I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of E-mail to me and will not dispute the same.

‘Electronic Payout: I/We hereby, irrevocable, authorise Signature Global Comtrade Private Limited (SGCPL) to credit my/our bank account electronically i.e. through Net Banking, RTGS, NEFT etc. for all the funds pay out due to me/us. I/We confirm that I/We am/are the first holder and bonafide owner of the given bank account/s. I/We am/are enclosing documentary proof in this regard for your reference and record. I/We am/are aware and understand the risks associated with electronic transfer of funds and hereby indemnify Signature Global Comtrade Private Limited from all liabilities losses resulting either from delay in crediting of pay out amount and /or non execution of such electronic pay out instruction for any reasons beyond the controlled of SGCPL. I/We have provided Cancelled Cheque /Bank Statement with IFSC Code for you to do the needful.’

Further Representations and Declarations cum Undertaking:

- That I/We hereby declare that there has been no adverse action whatsoever, such as enquiry/adjudication (penalty imposed) / suspension / cancellation / prosecution/de-barring from security market / commodity market, initiated against me/us or against my /our or any of my/our associated entities by SEBI or any other Regulatory authority during last 3 year. I/We undertake to update/inform in case any enquiry or action is initiated by SEBI / regulatory authorities.
- I/We hereby further declare that I /We am I are aware of the provisions of the Prevention of Money Laundering Act, 2002 (PMLA) as far as they concern me/us as an investor / client and I/We declare that I am /We are never convicted / barred from dealing in commodities market / securities market in the past under the said Act.
- I/We confirm that I am / We are in compliance with the "Know Your Client" (KYC) guidelines including conducting due diligence required for Anti Money Laundering (AML) checks as prescribed by the FIU / SEBI. I /We further confirm that all KYC and due diligence process has been followed on a continuous basis as long as our account continues to be held with Trading Member. Further I/ We agree to submit / provide all the statutory documents / other compliance details pertaining to my / our trading account whenever required, to fulfill my / our obligation under PMLA also.
- I/We, the undersigned, have taken knowledge of circular of commodity exchanges and on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.
- Commodity trading are in electronic form and are generally squared off at the expiry of Contracts series. I / We confirm you that if wish to take physical delivery of any commodity then I /We hereby confirm that it will be at our own risk and initiative. Further, I /We confirm that SGCPL responsibility shall end with conveying physical delivery instructions to the concerned commodity Exchange and SGCPL shall not be responsible for any delay in issue of ware house receipt from the exchange, any non-delivery of goods by the ware house for whatever reason or Damage or defective goods delivered by the ware house.
- I/We may communicate orders and other instructions to SGCPL or the sub broker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. Client may use any one or more of these means as may be permitted by the SEBI / Exchanges from time to time for placing orders.
- That I / We are fully understand and am/are aware that giving false declaration is an offence and can result in certain action including the rejection of application for opening the account and/or deactivation/freezing of my/ our account.
- I/We agree not to hold you liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war, strikes, failure of systems, failure of internet links, Government/ regulatory actions or any such other contingencies which may be beyond your control.
- That I / We are fully understand and am/are aware that giving false declaration is an offence and can result in certain action including the rejection of application for opening the account and/or deactivation/freezing of my/ our account.
- I/We hereby give this declaration to you without any coercion, with sound mind and voluntarily to you herein.
- Further, I / We agree with the terms / condition of the Signature Global Comtrade Private Limited (SGCPL) and agree to abide with the same and give Signature Global Comtrade Private Limited (SGCPL) authority of consent to use the above mentioned information of limited purpose for on boarding of account opening with BSE/NSE/MCX exchanges or any other intermediary respectively.

Name :

Date :

Signature of Client



DECLARATION BY KARTA & ALL CO-PARCERNERS IN CASE OF HUF ACCOUNT**HUF DECLARATION FORMAT FOR HUF ONLY**

Name of HUF (A)		As our HUF wishes to open account with Signature Global Comtrade Private Limited in the name as mentioned in (A) We wish to inform that the first signatory as mentioned in (B) is the KARTA of the Joint Family and other signatories are the adult/minor Co-parceners (C) of the said family. We further confirm that the business of the said joint family is carried on mainly by the said KARTA as also by the other signatories hereto in the interest and for the benefit of the entire body of Coparceners of the joint family. We all undertake that claims due to the Member from the said family shall be recoverable personally from all or any of us and shall also for the entire family properties of which the first signatory is the KARTA, including the share of the minor Co-parceners. In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act. We hereby undertake to inform you of the death or birth of a Co-Parcener of any change occurring at any time in the membership of our joint family during the continuity of the account.
Name of KARTA (B)		
PAN of KARTA		
Contact of KARTA		
Email of KARTA		

C. List of Family Members (Separate Annexure may be used in case number of members is higher)

S. No	Name of Coparcener / Member	Date of Birth	Gender	Relationship with Karta	Whether Coparcener / Member (Please Specify)	Signature of Coparcener/Member
1.						
2.						
3.						
4.						
5.						
6.						

(Name & Signature of Karta with appropriate stamp)

Name :

Signature of Client



Date :

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23, 2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information within the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to non-compliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

Thanking you.

Yours faithfully,

Name :

Signature of Client



Date :

COMPLETENESS OF FORM

Verified By

Name : _____

Signature : _____

Date : _____

Approved By

Name : _____

Signature : _____

Date : _____

Entered in Back office System by

Name : _____

Signature : _____

Date : _____

Entered in Surveillance System by

Name : _____

Signature : _____

Date : _____

Client Name : _____

Branch : _____

Received on : _____

Relationship
Manager : _____

Dealer : _____

Introducer : _____



SIGNATURE
GLOBAL

SIGNATURE GLOBAL COMTRADE

CIN : U74899DL2002PTC362495 | DP ID: I2095400

Redg. Add: 13th Floor, Dr. Gopal Das Bhawan, 28 Barakhamba Road, Connaught Place, New Delhi-110001

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EQUITY | COMMODITY | CURRENCY | RESEARCH | MUTUAL FUNDS | IPO

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