

## Annexure – 8

### TRADING ACCOUNT RELATED DETAILS

*For Individuals and Non-individuals*

#### A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

#### B. DEPOSITORY ACCOUNT(S) DETAILS

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

#### C. TRADING PREFERENCES

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

Exchanges		<del>NSE, BSE &amp; MSEI</del>		<del>MCX, NCDEX, BSE &amp; NSE</del>	
All Segments	Cash / <del>Mutual Fund</del>	F&O	Currency	<del>Debt</del>	<del>Commodity Derivatives</del>

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

\_\_\_\_\_.

**D. PAST ACTIONS**

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

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

- If client is dealing through the sub-broker, provide the following details:  
Sub-broker's Name: ..... SEBI Registration number: .....  
Registered office address: ..... Ph: ..... Fax: ..... Website: .....
- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

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

Client Code: .....Exchange: .....

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

**F. ADDITIONAL DETAILS**

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):  
.....  
Specify your Email id, if applicable: .....
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): .....
- Number of years of Investment/Trading Experience: .....
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:  
.....
- Any other information: .....

**G. OTHER DETAILS**

1. **Gross Annual Income Details (please specify):** Income Range per annum: Below Rs 1 Lac /1-5 Lac /5-10 Lac / 10-25 Lac/ 25 Lacs-1 crore/ >1 crore
2. **Occupation** (please tick any one and give brief details - **only for Individuals**): Private Sector/ Public Sector/ Government Service/Business/Professional/ Agriculturist/ Retired/ Housewife/ Student/ Others  
.....
3. **Net-worth as on** (date) ..... (dd/mm/yyyy)..... (*\*Net worth should not be older than 1 year*)
4. **Please tick, if applicable, for any of your authorized signatories/ Promoters/ Partners/ Karta/ Trustees/ whole time directors:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)\*. If yes, please describe the position: .....
5. Any other information: .....

**H. INTRODUCER DETAILS (optional)**

Name of the Introducer:.....  
(Surname) (Name) (Middle Name)  
Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify.....  
Address and phone no. of the Introducer: ..... Signature of the Introducer: .....

**I. NOMINATION DETAILS (for individuals only)**

**I/We wish to nominate** **I/We do not wish to nominate**  
Name of the Nominee: ..... Relationship with the Nominee: .....  
PAN of Nominee: ..... Date of Birth of Nominee: .....  
Address and phone no. of the Nominee: .....

**If Nominee is a minor, details of guardian:**

Name of guardian: ..... Address and phone no. of Guardian: .....  
Signature of guardian .....

**WITNESSES** (Only applicable in case the account holder has made nomination)

Name -----	Name -----
Signature -----	Signature -----
Address -----	Address -----

---

\*You or any of your immediate family ever been elected, appointed or assumed any political position in a National, State or Provincial Government.

**DECLARATION**

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

Place -----  
Date -----

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

---

**FOR OFFICE USE ONLY**

UCC Code allotted to the client: .....

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

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

.....  
**Signature of the Authorised Signatory**

**Date**.....

**Seal/Stamp of the stock broker**

**INSTRUCTIONS/ CHECK LIST**

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

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

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

2. Copy of cancelled cheque leaf/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-

person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public,

Court, Magistrate, judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals:

- a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution of declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.
-