

"One set of each document"

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1.	- "BOARD RESOLUTION" on company letter head for opening DP/Trading Account - <i>(Format Enclosed)</i>
2.	- "List of Authorized Signatories" on company letter head - <i>(Format Enclosed)</i>
3.	- "List of All Directors" on company letter head - <i>(Format Enclosed)</i>
4.	- 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 – <i>(Format Enclosed)</i> Note: a) If share holder is corporate entity and holding more than 25%, than provided share holding pattern of the holding company on its letter head And subsequent share holding patterns till the beneficiary owner is identified. b) The total % percentage of share should always be 100%
5.	- Copy of Company PAN Card
6.	- Proof of Address of the Company (Any One of the following) a) Bank Statement / Passbook with latest transaction details for 3 months b) Electricity bill (Not more than 3 months old) c) MTNL/BSNL landline telephone bill (Not more than 3 months old) d) Copy of Form 18 e) Proof of address issued by Statutory / Regulatory Authorities / Central-State Govt.
7.	- Copy of PAN Card & Copy of AADHAAR Card of Individual Director(s)/Authorized Signatory(s) (Minimum two directors details are mandatory to be submit)
8.	- Proof of Address of Individual Director(s)/Authorized Signatory(s) duly self attested by him/her self (Any One of the following) - (Minimum two directors details are mandatory to be submit) a) Passport (Validity period to be checked) b) Voter ID Card c) Driving License (Validity period to be checked) d) AADHAAR Card e) Bank Statement / Passbook with latest transaction details for 3 months f) Ration Card g) Electricity bill (Not more than 3 months old) h) Residence MTNL/BSNL landline telephone bill (Not more than 3 months old) i) 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.
9.	- Proof of Bank account of the Company (Any One of the following) a) Cancelled Cheque (With client name and A/c no. pre-printed) b) Latest Bank Statement/Passbook with MICR & IFSC code printed (Not more than 3 months old) c) Bank Verification Letter (ORIGINAL)
10.	- Copy of the "Balance Sheet" for the last 2 financial years (to be submitted every year)
11.	- Memorandum (MOA) and Articles of Association (AOA) - Including latest certificate of incorporation
12.	- Incase of Registered office address changed - Provide FORM-18
13.	- Incase Current directors name not available in MOA/AOA - Provide FORM-32
14.	- Rs.1000/- cheque in the name of "Emkay Global Financial Services Limited" - Account opening charges
15.	- Escrow agent pan & Escrow agreement copy
16.	- Copy of escrow advertisement
17.	- GST number
18.	- Account Closure Form
17.	- Account Modification Form (In case if any Modification required further)
Note : a) All company documents should be certified by authorized director(s)/signatory(s) with company seal b) IPV (In Person Verification) would be done by concern Branch/Franchisee/RM/BM. c) Register office address is mandatory to be field in KYC form	

Board Resolution

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF (Company Name) _____ HAVING ITS REGISTERED OFFICE AT _____ HELD ON..... DAY OF 20AT

Resolved that the company do agree to open a trading and / or demat account with M/s. Emkay Global Financial Services Ltd.(EGFSL), Member of the National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange, Ltd (BSE) MCX Stock Exchange Ltd (MCX-SX) and Depository Participant with Central Depository Services (India) Limited (CDSL) and Comtrack Participant with National Commodity, NERL (National E-Repository), CCRL (CDSL Commodity Repository Limited) & Derivatives Exchange Ltd (NCDEX), for the purpose of dealing in Capital Market/Cash segment/Futures & Options /Currency Derivatives segment, Commodity segment or any other segment that may be introduced at a later stage by NSE/BSE/MCX-SX, CDSL, NCDEX-Comtrack, NERL, CCRL or any other segments, Exchange or Depositories in future.

Resolved that the said Member(s) be and is/are hereby authorized to honour instructions, oral/written or electronic, given on behalf of the company by any of the under noted authorized signatories:-

Sr no.	Name	Designation
1.		
2.		
3.		

Who is/are **Singly/Jointly/Severally** authorized to sell, purchase, endorse, transfer, negotiate and/or otherwise deal through M/s. Emkay Global Financial Services Ltd., on behalf of the Company.

RESOLVED FURTHER to designate company Email id _____ to receive all the electronic communications on behalf of company & also Authorize Mr./Ms. _____ Director/Authorized Signatory of the company having mobile no. _____ to receive all the electronic communications & SMS communications on behalf of company, all the communications sent to us on this email-id shall be legal and binding upon us.

RESOLVED FURTHER THAT Mr./Mrs _____ Director/Authorized Signatory, and/or Mr./Mrs _____ Director/Authorized Signatory and/or Mr./Mrs _____ Director/Authorized Signatory of the company be and hereby **Singly/Jointly/severally** authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

AND RESOLVED FURTHER THAT, the common seal of the company is affixed, wherever necessary, in the presence of any directors or of any one director and Company Secretary, who shall sign the same in token of the presence

For.....

Mr./Mrs. _____
Managing Director

Mr./Mrs. _____
Director

Mr./Mrs. _____
Director

List of Authorized Signatories

Sr. no.	Name	Photo	Specimen Signature with company stamp
1.			
2.			
3.			

For _____

Mr./Mrs. _____
Managing Director

Mr./Mrs. _____
Director

Mr./Mrs. _____
Director

List of Directors as on _____

Sr. no.	Name	Designation
1.		Director
2.		Director
3.		Director
4.		Director

For _____

Mr./Mrs. _____
Managing Director

Mr./Mrs. _____
Director

Mr./Mrs. _____
Director

On Letter Head

Share Holding Pattern

Share holding pattern of M/s. _____ as on dated _____

Paid up capital Rs. _____ Face value of each equity share (or any other instrument) : Rs _____

Sr. no.	Share Holder Name	No. of Shares	% (Percentage)
1.			
2.			
3.			
4.			
5.			
6.			
7.			
Total			

For _____

Mr./Mrs. _____
Managing Director

Mr./Mrs. _____
Director

Mr./Mrs. _____
Director

Paragon Center, C-06, Ground floor, P B Marg, Worli, Mumbai-400013; Tel: 91 22 66175454/66299299; Fax: 91 22 66175434, E-mail:dp@emkayglobal.com, Website:www.emkayglobal.com
 CDSL DP ID: 23000 Application No: _____

Trading Code: _____ DP ID

1	2	0	2	3	0	0	0
---	---	---	---	---	---	---	---

 Client ID

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

 Date: _____

Please fill all the details in Block Letters in English. Please mark (i) on the appropriate column.

First/Sole Holder Name	PAN
Second Holder Name	
Third Holder Name	
Trading a/c Holder Name	

To, **Emkay Global Financial Services Ltd.**, Paragon Center, C-06, Ground floor, P B Marg, Worli, Mumbai-400013.

Dear Sir/Madam, I/We request you to make the following Additions/Modification/Deletions to my/our Trading and Demat (DP) account in your records.

I/We request to carry out the change of address/signature in the demat account. I/We request to carry out the change of address/signature in the KRA and demat account

Address modification: **Correspondence** **Permanent** (Permanent address modification done only in DP) **Registered Address** (only for non-individual)

Existing Details	New Details
Address: _____	Address: _____
City/town/village : _____ State: _____	City/town/village : _____ State: _____
Country: _____ Pincode: _____	Country: _____ Pincode: _____

***Documents Required:** Ration Card Passport Voter ID Driving License Bank Passbook/Statement (not older than 4 months)
 Electricity/Telephone Bill (not older than 3 months) Leave & Licence Agreement/Agreement for Sale Govt. proof/others (please specify)

Bank & Dividend Details : **Addition** **Modification** **Deletion**

Existing Details	New Details																				
Bank Name : _____ Branch/Address : _____	Bank Name : _____ Branch/Address : _____																				
A/c No. : _____ A/c Type: _____	A/c No. : _____ A/c Type: _____																				
IFSC code : <table border="1" style="display: inline-table;"><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 : <table border="1" style="display: inline-table;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>										
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***Documents Required:** Bank/Passbook statement (not older than 4 months) Cancelled Cheque Leaf with name printed Letter from bank

Contact Details: **Addition** **Modification** **Deletion**

Existing Details	New Details
Tel No.(:) _____ Mob 📞 : _____	Tel No.(:) _____ *Mob 📞 : _____
Email ID ✉️ : _____	*Email ID ✉️ : _____

Please specify the new mobile no. registered in the name of _____

* for activating SMS option in change mobile number requires SMS alert request form as per CDSL prescribed format.

* change of email id shall automatically change email id for ECN and other confirmation.

Request to update **POA** **Financial details** **Segment** **Occupation** **Status** **Others** (Please specify)

	Existing Details	New Details
POA	<input type="checkbox"/> Enable <input type="checkbox"/> Disable	<input type="checkbox"/> Enable <input type="checkbox"/> Disable
Financial Details	<input type="checkbox"/> upto 1,00,000 <input type="checkbox"/> 1,00,001 to 5,00,000 <input type="checkbox"/> 5,00,001 to 10,00,000 <input type="checkbox"/> 10,00,001 to 25,00,000 <input type="checkbox"/> more than 25,00,000	<input type="checkbox"/> upto 1,00,000 <input type="checkbox"/> 1,00,001 to 5,00,000 <input type="checkbox"/> 5,00,001 to 10,00,000 <input type="checkbox"/> 10,00,001 to 25,00,000 <input type="checkbox"/> more than 25,00,000
Segment	<input type="checkbox"/> BSE Cash <input type="checkbox"/> NSE Cash <input type="checkbox"/> NSE F&O <input type="checkbox"/> NSE CD <input type="checkbox"/> MCX-SX	<input type="checkbox"/> BSE Cash <input type="checkbox"/> NSE Cash <input type="checkbox"/> NSE F&O* <input type="checkbox"/> NSE CD <input type="checkbox"/> MCX-SX
Occupation	<input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Professional <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Farmer <input type="checkbox"/> Private sector <input type="checkbox"/> Public sector <input type="checkbox"/> Govt. service <input type="checkbox"/> Others _____ (Please specify)	<input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Professional <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Farmer <input type="checkbox"/> Private sector <input type="checkbox"/> Public sector <input type="checkbox"/> Govt. service <input type="checkbox"/> Others _____ (Please specify)
Status	<input type="checkbox"/> Private Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust / Charities / NGOs <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> bank <input type="checkbox"/> Govt. Body <input type="checkbox"/> NGO <input type="checkbox"/> Defence establishment <input type="checkbox"/> Body of individuals <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others _____ (Please specify)	<input type="checkbox"/> Private Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust / Charities / NGOs <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> bank <input type="checkbox"/> Govt. Body <input type="checkbox"/> NGO <input type="checkbox"/> Defence establishment <input type="checkbox"/> Body of individuals <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others _____ (Please specify)
Others		

To activate in F&O segment, please submit your income proof (not older than 6 months)

*Note: Proof required to be self attested from all the holders.

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 writing. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ We may be held liable for it.

@First / Sole Holder

@Second Holder

@Third Holder

Acknowledgment Receipt

Trading Code: _____ DP ID

1	2	0	2	3	0	0	0
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 Client ID

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 Date: _____

We hereby acknowledge the receipt of your instruction for modification of the following account subject to verification:

	First/Sole Holder	Second Holder	Third Holder
Name			

Modification request for (specify reason): _____

*Please note that the said Modification Form and overleaf instructions should be printed on the same page (back to back).

CDSL DP ID: 23000

Application No		Date	D	D	M	M	Y	Y	Y	Y
Closure Initiated by	<input type="checkbox"/> OBO <input type="checkbox"/> ODP <input type="checkbox"/> OCDSL <input type="checkbox"/> OStock Broker									

(To be filled by BO/Client, Please fill all the details in Block Letters in English)

To, Emkay Global Financial Services Ltd.

Dear Sir/Madam,

I/We the sole Holder/Joint Holders/Guardian (In case of Minor) /Clearing Member request you to close my /our OTrading and ODemat account with you from the date of this application. The details of my /our account are given below:

Account Holder's Details:

DP ID	1	2	0	2	3	0	0	0	Client ID								Trading a/c no.:							
Name of the First/Sole Holder																								
Name of the Second Holder																								
Name of the Third Holder																								
Address for correspondence																								
City					State				Country								PIN							

Details of remaining security balances in the account (if any):

Reasons for closing the Account :	
Balance remaining in the Trading account (if any) through : <input type="checkbox"/> OCheque <input type="checkbox"/> ONEFT <input type="checkbox"/> ORTGS	
Balance remaining in the account (if any)to be :	
<input type="checkbox"/> OPartly rematerialized and partly transferred	<input type="checkbox"/> ORematerialized
<input type="checkbox"/> OTransferred to another account (Number given below)	<input type="checkbox"/> ONot Applicable
DP ID	Client ID
Balance present in account for (To be filled by DP, If applicable)	<input type="checkbox"/> OEarmarked <input type="checkbox"/> OPledged <input type="checkbox"/> OPending for Dematerialization <input type="checkbox"/> OFrozen <input type="checkbox"/> OPending for Rematerialisation <input type="checkbox"/> OLock-In

Declaration: In case of Account Closure due to SHIFTING OF ACCOUNT:

I/We declare and confirm that all the transactions in my /our trading & demat account are true /authentic.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature *			

* if Stock Broker / DP or CDSL initiates account closure ,Signature (s) of account holder(s) not required.

Acknowledgement Receipt

Application No. _____

Date: _____

We hereby acknowledge receipt of your instruction for closing the following Account subject to verification.

DP ID	1	2	0	2	3	0	0	0	Client ID								Trading a/c no.:
Name of the First/Sole Holder																	
Name of the Second Holder																	
Name of the Third Holder																	
Reason for Closure																	

Emkay Global Financials Services Limited

Seal and Signature

Submit a duly filled Delivery Instruction Slip [DIS] (off market instruction slip) if the balances are to be transferred to another Account. This requirement is not applicable in the case of "SHIFTING OF ACCOUNT"

INSTRUCTIONS/CHECK LIST FOR FILLING MODIFICATION FORM

1. Self attested copy of PAN card is mandatory for all clients in all type of change request.
2. Copies of all the documents submitted by the applicant should be self – attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities auhorised for attesting the documents, as per the below mention list.
3. If any proof of address is in other language, then translation into English is required.
4. Name & address of the applicant mentioned on the Modification form, should match with documentary proof submitted.
5. Documents having an expiry date should be valid on the date of submission.
6. Account modification form duly signed by all the account holders.
7. DP should obtain proof of address of the first holder.
8. The following Government Proof is consider as a address proof while giving for modifying address details:
 - a) Central/State Government and its Departments
 - b) Statutory / Regulatory Authorities
 - c) Public Sector Undertakings
 - d) Scheduled Commercial Banks
 - e) Public Financial Institutions
 - f) Colleges affiliated to universities
 - g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their members.
9. The following modification details mentioned in Other Details option:
 - (I) New Marital
 - (ii) New Nationality
 - (iii) New Status (Resident Individual/Non Resident)
 - (iv) Net-worth
 - (v) Name, PAN, DIN / UID, residential address and photographs of Promoters / Partners / Karta / Trustees / whole time directors (Please use the annexure to fill in the details)