



Your success is our success



SARAL - CLIENT REGISTRATION FORM

(ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT ONLY)

Name _____

PAN No.

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DP a/c no.

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

Dealer Name _____ Brokerage Scheme _____

Ref No. / Sr. No. _____

Emkay Global Financial Services Limited

Member: Bombay Stock Exchange Limited
Member: National Stock Exchange of India Limited
Member: MCX Stock Exchange Limited
Depository Participant: CDSL

TRADING & DEMAT ACCOUNT CHECKLIST (INDIVIDUAL)

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

Abbreviations:

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

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

PROOF FOR EXISTING DEMAT ACCOUNT HOLDERS

- ✓ DP Statement ✓ Client Master Report (CMR)
1. Clients name & DP A/c No. on the proof of DP should match with that mentioned in the account opening form.
 2. DP Statement should clearly show DP ID & Client ID.

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

DETAILS OF THE TRADING MEMBER

Name of Stock Broker / Trading Member/ Clearing Member	Emkay Global Financial Services Limited		
SEBI Registration No. and date	BSE	Capital Market	INB010901838 Dtd: 13/03/1996
		Future & Options	INF010901838 Dtd: 02/06/2000
	NSE	Capital Market	INB230901838 Dtd: 24/08/1999
		Future & Options	INF230901838 Dtd: 19/06/2001
		Currency Derivatives	INE230901838 Dtd: 26/08/2008
	MCX-SX	Capital Market	INB260901831 Dtd: 01/02/2013
		Future & Options	INF260901831 Dtd: 01/02/2013
Currency Derivatives		INE260901838 Dtd: 29/10/2009	
Registered office address	Address	7 th Floor, The Ruby, Senapati Bapat Marg, Dadar (West), Mumbai - 400 028.	
	Phone	022 - 6612 1212	
	Fax	022 - 6624 2410	
	Website	www.emkayglobal.com	
Correspondence office address	Address	Paragon Centre, C-06, Ground Floor, Pandurang Budhkar Marg, Worli, Mumbai – 400013.	
	Phone	022 - 6617 5454 / 6629 9299 / 2490 467	
	Fax	022 - 6612 1299 / 2490 4795	
	DP Fax	022 - 6617 5434	
Details of Compliance officer	Name	Mr. Vaibhav Purohit	
	Phone No.	022 - 6629 9299	
	Email	compliance@emkayglobal.com	
Details of COO	Name	Mr. Rajesh Sharma	
	Phone No.	022 - 6629 9299	
	Email	compliance@emkayglobal.com	

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

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

Regulator	Web Address	Contact No.	Web Address
BSE	www.bseindia.com	022-2272 8097	is@bseindia.com
NSE	www.nseindia.com	1800220058	ignse@nse.co.in
MCX-SX	www.mcx-sx.com	022-67319000 Extn. 8883	investorcomplaints@mcx-sx.com

Regulator	Web Address	Contact No.	Web Address
CDSL	www.cdslindia.com	022-2272 3333	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.

INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Pg. No.
MANDATORY FORM AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist (To be filled by customer) B. Document captures the additional information for Trading and Demat Account .	1 - 6
VOLUNTARY FORM AS PROVIDED BY THE STOCK BROKER			
1.	Declaration	Receipt & read of Rights & Obligation, Guidance Note, RDD, Policies & Proceduer & PMLA	7
MANDATORY DOCUMENT AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Rights and Obligations of Beneficial Owner and Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	1 - 3
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading)	4 - 7
3.	Risk Disclosure Document (RDD)	Document detailing Risks associated with dealing in the securities market.	8 - 10
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	11 - 12
5.	Policies & Procedures	Various policies and procedures applied by the Member/ Depository Participant.	13 - 15
6.	Information on prevention of money laundering act 2002, (PMLA)	Brief note on PMLA for Client Information	16
7.	Additional Guidance Note for DP	Document detailing do's and don'ts for DP, for the education of the investors.	17
8.	Tariff Sheet	Details of DP Schemes and Charges Applicable	18

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

The stock broker hereby discloses that it does client based business and proprietary trades as well.

KYC - Please fill this form in **BLOCK LETTERS**

A. Identity Details																														
1. Name of Applicant	<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>																													<p>PHOTOGRAPH</p> <p>Please affix the recent passport size photograph and sign across it</p>
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DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/ We are aware that I/We may be held liable for it.

_____ **SIGNATURE OF THE APPLICANT**

Date: _____ (dd/mm/yy)

Originals Verified Self-Attested Document Copies received

(_____)

**Name & Signature of the Authorised Signatory
Seal/Stamp of the Intermediary**

KYC - Please fill this form in **BLOCK LETTERS**

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_____ **SIGNATURE OF THE APPLICANT** Date: _____ (dd/mm/yy)

Originals Verified Self-Attested Document Copies received (_____)

**Name & Signature of the Authorised Signatory
Seal/Stamp of the Intermediary**

OTHER DETAILS

1. Bank Account(s) Details

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

2. Demat account details:(In case the client does not have DP account, this column may be crossed)

DP Name	(NSDL/CDSL)	Beneficiary Name	DP ID	BO ID

3. Whether DP account is also to be opened with the same intermediary (Yes / No)

4. Trading Preferences: Please sign the relevant boxes where you wish to trade.

Exchange	Sign	Exchange	Sign	Exchange	Sign
NSE	<input type="checkbox"/>	BSE	<input type="checkbox"/>	MCX-SX	<input type="checkbox"/>

5. Brokerage Scheme Code - Cash : _____

6. Mode of receiving Contract Note / Statement of Account: Physical / Electronic (Please indicate your preference) _____

7. Standing instructions to receive credits automatically into my BO account (Yes / No)

NOMINATION DETAILS

I/We the Sole Holder / Joint Holders / Guardian (in case of minor) hereby declare that :

I/We **do not wish to nominate any one for this trading & demat account.**

I/We **nominate** the following person who is entitles to receive funds/security balance lying in my/our account, particulars whereof are given below, in the event of my/our death.

Full Name of the Nominee

Relationship with Client (BO) PAN of Nominee

Date of Birth UID (Optional)

Address

City/Town/Village PIN

State Country

E-mail ID

Phone No. FAX No.

As the nominee is a minor as on date, to receive the funds / securities in this account on behalf of the nominee in the Sole holder/ all Joint holder, I/We appoint following to act as Guardian.

Name of Guardian

Address

City/Town/Village PIN

State Country

Age years Relationship of Guardian with Nominee

E-mail ID

Phone No. FAX No.




This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Nomination accepted and registered vide Registration No.: _____ Registration Date : _____

Name & Address of Witnesses (Mandatory if client has made Nomination)	Signature
1.	
2.	

DECLARATION

I have understood the contents of policy and procedures document, tariff sheet, (Scheme Selected “ _____”) Rights and Obligations’ document and ‘Risk Disclosure Document’. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker’s designated website.

	First / Sole Holder or Guardian (incase of Minor)	Second Holder	Third Holder
Name			
Signature			

Place Date

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

DP Name	(NSDL/CDSL)	Beneficiary Name	DP ID	BO ID

	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 I/we have made the client aware of "Policy of Procedures' tariff sheet. 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 would be duly intimate to the clients. I/We also undertake that any change in the 'Right and Obligations' and RDD would be made available on my/ our website, if any for the information of the clients.

If the client chooses to avail the demat facility from the same stock broker who is also a depository participant, the stock broker may use the same form and provide the details of the demat account opened for the said client to the client while providing a copy of the KYC documents.

Signature of the Authorised Signatory

Seal/Stamp of the Member

Date _____

NOTE : This form is applicable for individual investors trading in the cash segment. if such investors wish to trade in segments other than cash segment and / or wish to avail facilities such as internet trading, running account, margin trading, Power of Attorney etc. they may furnish additional details required as per prescribed regulation to the concerned intermediary.

DECLARATION

Date:

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

Dear Sir,

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




1. I/ We have received and the read the Documents describing Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories for the purpose of opening a Demat account.
2. I/ We have received and read the document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).
3. I/ We have received and read the Document detailing risks associated with dealing in the securities market in the Risk Disclosure document.
4. I/ We have received and read the Guidance note detailing do's and don'ts for trading on exchanges, for the education of the investors.
5. I/ We have received and read the Document describing significant policies and procedures of the stock broker and also the tariff structure.
6. I/ We have received and read the Document describing Information on prevention of money laundering act 2002, (PMLA)
7. I/ We have received and read the Guidance note detailing do's and don'ts for DP, for the education of the investors.
8. Details of DP Schemes and Charges Applicable

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

:

I hereby acknowledge the same.

Client Code : _____

	First / Sole Holder or Guardian (incase of Minor)	Second Holder	Third Holder
Name			
Signature			

Place	Date	D	D	M	M	Y	Y	Y	Y
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Emkay Global Financial Services Limited

Registered and Corporate Office: The Ruby, 7th Floor, Senapati Bapat Marg, Dadar (West), Mumbai - 400 028
Tel.: +91 022 6612 1212 • Fax: +91 022 6612 1299 • Web: www.emkayglobal.com • CIN : L67120MH1995PLC084899

* BSE CASH: INB 010901838 * BSE DERIVATIVES: INF 010901838 * NSE CASH: INB 230901838 * NSE DERIVATIVES: INF 230901838

* NSE CURRENCY: INE 230901838 * MCX-SX CASH: INB 260901831 * MCX-SX DERIVATIVES: INF 260901831

* MCX-SX CURRENCY: INE 260901838 * USE: INE 270901833 * DP CDSL IN: 58 - 2000 * MUTUAL FUNDS: ARN 1563