

CLIENT REGISTRATION FORM



13580

Form No. **BN** _____

Client Code _____

Sub-broker Name	
Client Name	
Client Code	
Date of Registration	

Note: The information to be given in the Form is the sole property of DSE Financial Services Ltd. and would not be disclosed to any one unless required by law or except with the permission of the client.

DSE FINANCIAL SERVICES LTD.

(A wholly owned subsidiary of Delhi Stock Exchange Limited)

Trading Member of NSE (INB231183030), NSE F&O (INF231183030)

BSE (INB011183036), MCX-SX Currency Derivative (INE 261183030)

and

Depository Participant with CDSL ID-12032000

Registered Office : 3 & 4/4B, ASAF ALI ROAD, NEW DELHI-110 002

Corporate Office : DSE House, 3/1, Asaf Ali Road, NEW DELHI-110 002

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DSE FINANCIAL SERVICES LTD.

(A wholly owned subsidiary of Delhi Stock Exchange Limited)

SEBI Registration No.		Date of Registration
BSE	: INB011183036	17/04/2002
NSE (Capital)	: INB231183030	15/09/2003
NSE F&O	: INF231183030	13/07/2009
MCX-SX	: INE261183030	12/08/2009
NSE (Currency)	: (INE 231183030)	30/05/2011
CDSL	: IN-DP-CDSL-189-2002	05/09/2012
Registered Office	: 3 & 4/4B, ASAF ALI ROAD, NEW DELHI-110 002	
Phones	: 011-46470061	
Fax	: 011-40769028	
Website	: www.dsefl.com	
Correspondance Address	: 3 & 4/4B, ASAF ALI ROAD, NEW DELHI-110 002	
Compliance Officer	: Ms Priyanka Jain, 011-46470061, cs@dsefl.com	
CEO	:	

For any grievances, please contact DSE financial Services Ltd. at the above address or email id: dse_financial@rediffmail.com and Phone No. 011-46470061. In case not satisfied with the response, please contact the concerned exchanges:

NSE : 022-26598190

email: ignse@nse.co.in

BSE : 011-43007415

iscdelhi@bseindia.com

ANNEXURE-1
ACCOUNT OPENING KIT
INDEX OF DOCUMENTS

DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S. No.	Name of the Document	Brief Significance of the Document	Page No.
1.	CVL-KRA Form for Individuals	Document captures the KYC (Know your client details) for individual clients	3-4
2.	CVL-KRA Form for Non-Individuals	Document captures the KYC (Know your client) details for non-individual clients	5-7

DOCKET A — MANDATORY DOCUMENTS

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3.	Account Opening Form	A. KYC Form- Document captures the basic information about & constituent and an instruction / check list.	9-10
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list	11-16
4.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	17-21
5.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	22
6.	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).	23-27
7.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the security market.	28-32
8.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors	33-34

DOCKET B — VOLUNTARY DOCUMENTS

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S. No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Letter of Authority	Documents giving authority to the trading member	36-37
2.	Running Account Authorisation	Letter where in Client Authorises Stock Broker to maintain running account.	38
3.	Client Defaulter Declaration	Declaration given by the client stating that he is not a defaulter	39
4.	Authorisation of ECN	Authorisation of Electronic Contract Note	40
5.	Declaration for name mismatch	Declaration given by the client in case of mismatch in name in his documents	41
6.	Standing Instructions/ Authorisation Letter	For Smooth Functioning of Account	42
7.	Authorisation for Fund Transfer / Adjustment in our Family Unit Accounts	For Smooth Functioning of Account	43

