

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

Tel: 46470000, 46470061 Fax: 011-40769028

E-mail: dse_financial@yahoo.co.in

E-mail for Investor's Grievances: dse_financial@rediffmail.com



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
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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

S. No.	Name of the Document	Brief Significance of the Document	Page No.
8.	Format of Board Resolution to be given by Corporate Client	Format of Board Resolution to be provided by Corporate entities on their letter head for opening of account	44
9.	Format of Declaration to be given by Partnership Firm	To be given by the Partners of the firm for opening of account	45
10.	Format of Declaration to be given by Proprietor of Sole Proprietorship Firm	To be given by the Proprietor of the firm for opening of account.	46
11.	Declaration by HUF	To be given by the karta and coparceners of the HUF	47
12.	Addendum to the Client	Information regarding prevention of money laundering	48

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.

1. 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.
2. Demat master or recent holding statement issued by DP bearing name of the client.
3. 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.
4. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individuals

PHOTOGRAPH

Please fill this form in ENGLISH and in BLOCK LETTERS.

Please affix your recent passport size photograph and sign across it

A. IDENTITY DETAILS

- 1. Name of the Applicant: _____
- 2. Father's/ Spouse Name: _____
- 3. a. Gender: Male/ Female b. Marital status: Single/ Married c. Date of birth: _____(dd/mm/yyyy)
- 4. a. Nationality: _____ b. Status: Resident Individual/ Non Resident/ Foreign National
- 5. a. PAN: _____ b. Aadhaar Number, if any: _____
- 6. Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

- 1. Residence Address: _____
 _____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____
- 2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
- 3. Specify the proof of address submitted for residence address: _____
- 4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant): _____
 _____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____

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.

Signature of the Applicant

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

(.....)
Name & Signature of the Authorised Signatory

Date

Seal/Stamp of the intermediary

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Non-Individuals

PHOTOGRAPH

Please affix the recent passport size photographs and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of incorporation: _____ (dd/mm/yyyy) & Place of incorporation: _____
3. Date of commencement of business: _____ (dd/mm/yyyy)
4. a. PAN: _____ b. Registration No. (e.g. CIN): _____
5. Status (please tick any one):
Private Limited Co./Public Ltd. Co./Body Corporate/Partnership/Trust/Charities/NGO's/FI/ FII/HUF/AOP/ Bank/Government Body/Non-Government Organization/Defense Establishment/BOI/Society/LLP/ Others (please specify) _____

B. ADDRESS DETAILS

1. Address for correspondence: _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. Specify the proof of address submitted for correspondence address: _____
4. Registered Address (if different from above): _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____

C. OTHER DETAILS

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: _____
2. a) DIN of whole time directors: _____
b) Aadhaar number of Promoters/Partners/Karta: _____

DECLARATION

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.

Name & Signature of the Authorised Signatory

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

(.....)
Name & Signature of the Authorised Signatory
Date

Seal/Stamp of the intermediary



DOCKET - A

MANDATORY DOCUMENTS


ACKNOWLEDGEMENT

To
DSE FINANCIAL SERVICES LTD.
(A wholly owned subsidiary of Delhi Stock Exchange Limited)
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

Dear Sir,

I/We hereby acknowledge the receipt of Right and Obligations, Risk Disclosure Document and Guidance Note with duly executed copy of KYC and other documents. Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct. I/We acknowledge that the other details related to my/our account are as under:

Name.....Address.....
.....Trading Code.....
UCC.....My Email Id.....



Client Signature

KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR INDIVIDUALS



DSE FINANCIAL SERVICES LTD.

(A wholly owned subsidiary of Delhi Stock Exchange Limited)
 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
 Tel: 46470000 E-mail: dse_financial@yahoo.co.in
 E-mail for Investor's Grievances: dse_financial@rediffmail.com

Please affix
 your recent
 passport size
 photograph
 duly signed
 across

I request you to register my self as your client and enable me to trade in the Cash and F&O National Stock Exchange of India Ltd. / Bombay Stock Exchange Ltd. Pursuant to the Agreement entered into with you. I have read Rules, Bye-laws and Regulations of the Cash and F&O Segments of National Stock Exchange of India Ltd. / Bombay Stock Exchange Ltd. ("the exchanges") and agree to abide by them. In this regard, I give the following information:

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

Name of Applicant										
Father's/Spouse Name										
Gender	<input type="checkbox"/> Male		<input type="checkbox"/> Female		Marital Status	<input type="checkbox"/> Single		<input type="checkbox"/> Married		
Date of Birth					Nationality	<input type="checkbox"/> Indian		<input type="checkbox"/> Others _____		
Status	<input type="checkbox"/> Resident Individual		<input type="checkbox"/> Non Resident		<input type="checkbox"/> Foreign National					
Permanent Account No. (PAN)										
Unique Identification Number (UID)/Aadhaar, if any										
Specify the proof of identity submitted										

B. ADDRESS DETAILS

Correspondence Address										
	City/Town/Village					State				
	Country					Pin Code				
Contact Details	Tel: (O)					Tel: (R)				
	Mobile					Fax				
	E-mail									
Specify the proof of address submitted for Correspondence Address										

KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS



DSE FINANCIAL SERVICES LTD.

(A wholly owned subsidiary of Delhi Stock Exchange Limited)
 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
 Tel: 46470000 E-mail: dse_financial@yahoo.co.in
 E-mail for Investor's Grievances: dse_financial@rediffmail.com

Please affix
your recent
passport size
photograph
duly signed
across

I request you to register my self as your client and enable me to trade in the Cash and F&O National Stock Exchange of India Ltd. / Bombay Stock Exchange Ltd. Pursuant to the Agreement entered into with you. I have read Rules, Bye-laws and Regulations of the Cash and F&O Segments of National Stock Exchange of India Ltd. / Bombay Stock Exchange Ltd. ("the exchanges") and agree to abide by them. In this regard, I give the following information:

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

Name of Applicant																	
Date of incorporation																	
Place of incorporation																	
Date of Commencement of Business																	
Permanent Account No. (PAN)																	
Registration No. (e.g. CIN)																	
Status (Please tick any one)	<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 <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <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"/> Non-Govt. Organization <input type="checkbox"/> Defence Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others _____																

B. ADDRESS DETAILS

Correspondence Address																	
	City/Town/Village										State						
	Country					Pin Code											
Contact Details	Tel: (O)								Tel: (R)								
	Mobile								Fax								
	E-mail																
Specify the proof of address submitted for Correspondence Address																	

TRADING ACCOUNT RELATED DETAILS (For Individuals & Non-Individuals)

A. BANK ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)

Bank Name	Branch Address	Account No.	Account Type	MICR No.	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others- in case of NRI/ NRE/NRO		
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others- in case of NRI/ NRE/NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS (Through which transaction shall generally be routed)

Depository Participants Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Stock Exchange	Market Segment/s
<input type="checkbox"/> NSE	Cash <input type="checkbox"/> F & O <input type="checkbox"/>
<input type="checkbox"/> BSE	Cash <input type="checkbox"/>

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.

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 :

G. INTRODUCER DETAILS (Optional)

Name of the Introducer																								
Status of the Introducer	Sub Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Auth. Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others _____																							
Address and Phone No. of the Introducer																								
															Sign. of the Introducer									

H. NOMINATION DETAILS (for Individuals only)

<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate																				
Name of the Nominee																				
Relationship with the Nominee																				
PAN of Nominee																				
Address & Phone No. of the Nominee																				
If Nominee is a minor, details of guardian :																				
Name of the Guardian																				
Address & Phone No. of Guardian																				
Sign. of Guardian																				


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

Name																				
Signature																				
Address																				

Name																				
Signature																				
Address																				

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.



 Signature of Client / All Authorized Signatory (ies)

Place _____

Date _____