



CLIENT REGISTRATION FORM

Non Resident Indian (NRI)

(EQUITY, F&O, DEMAT)

S.No. :

Version : 4.0

NON RESIDENT INDIAN (NRI)

CLIENT NAME :

CLIENT CODE (UCC) :

DP CLIENT ID. :

DP CONTROL NO. :

STAMP OF SUB BROKER / BRANCH WITH NAME AND ADDRESS

GROUP 2

GROUP 3

SERVICES OFFERED TO NRI INVESTORS

Online Trading in Equities and Derivatives | Distribution Services of IPO and MF | Real Estate Advisory Services |
SMC Easy go | Back Office support on Mobile | Award Winning Research Desk | Dedicated Support Desk |
Depository Services | Wealth Management



GENERAL INSTRUCTIONS TO FILL THE FORM

A. FILL IN BLOCK LETTERS WITH BLACK/BLUE PEN. ✎ All correction / overwriting should be counter signed by client.	<input type="checkbox"/>
B. PROVIDE ALL NECESSARY DOCUMENTARY PROOFS (AS PER DOCUMENT CHECKLIST) ✎ Name of client on all documents should match with name in KYC Form on page A1/A3 - (For minor difference, fill declaration on page C12)	<input type="checkbox"/>
C. CLIENT SIGNATURES	
	<input type="checkbox"/>
On Documentary Proofs	<input type="checkbox"/>
On KYC Form: marked as ✎ Sole / First Holder ☒ Second Holder ☒ Third Holder	<input type="checkbox"/>
✎ Client signatures should match with sign on PAN card / DL / Passport (in case of individual) OR account opening payment cheque. ✎ In case of any mismatch provide declaration on page C12	<input type="checkbox"/>
D. WITNESS SIGNATURES with name & address required at 1 places (marked as ☉-☉ on pages C1)	<input type="checkbox"/>
E. REGISTERED Sub-Broker / AP/ RM signature with stamp	
INDIVIDUAL / NON INDIVIDUAL	<input type="checkbox"/>
In Person Verification (IPV) on Page A2	<input type="checkbox"/>
On all copies of client documents	<input type="checkbox"/>
Introducer details and signature on Page A6	<input type="checkbox"/>
F. Fill Brokerage and choose ANYONE account opening scheme from Tariff Sheet on Page A9 Approval is provided (if required)	<input type="checkbox"/>
G. Provide unique Email ID & Mobile Number on Page A2/A3 Note: Provide your mobile number & E-mail ID to receive information of your transactions directly from Exchange & Depository on your mobile / E-mail at the end of the day. If Mobile No. is of Spouse/Dependent Children or Parents, please sign declaration on Page C12	<input type="checkbox"/>

Proof of Identity

Copy of PAN Card

Proof of Address (Anyone)

For Individuals (Client / Karta / Partners / Directors / Promoters / Trustee / Authorised signatory)	Aadhaar / Passport / Voters ID Card/ Driving License (Documents having an expiry date should be valid on the date of submission)
For Non Individuals (Corporate / Partnership / Trust etc.)	Telephone Bill (only land line) / Electricity bill / Gas bill / Bank Account Statement (Not more than 3 months old) Registered Lease or Sale Agreement

Bank Account Proof (Anyone)

Copy of cancelled cheque leaf with pre-printed name / pass book / Latest bank statement specifying name of the constituent, MICR Code and IFSC of the bank should be submitted

Additional documents in case of trading in derivatives segments (Anyone)

Copy of latest Income Tax Return	Latest Net worth certificate
Last month Salary Slip or Copy of Form 16 (for salaried persons)	Copy of demat account holding statement with value
Bank account statement for last 6 months	Copy of Annual Accounts

Demat Account Proof (For clients having demat account outside SMC)

Demat client master or recent holding statement issued by DP bearing name & PAN of the client

Please ensure

1. Proof of Identity (Pol)	<ul style="list-style-type: none"> ● If Name/Photo/Signature on PAN Card is not clear, then submit additional Pol ● Copy of PAN Card is mandatory for all applicants (except for applicants residing in state of Sikkim)
2. Proof of Address (PoA)	<ul style="list-style-type: none"> ● If correspondence & permanent addresses are different, then proofs for both could be submitted ● Address in proof should match with address in KYC form
3. Bank + MICR/IFS Code Proof	<ul style="list-style-type: none"> ● Proof should contain IFS Code (11 digits) / MICR Code (9 digits) of Bank ● If name is not pre-printed on cheque - then submit additional proof containing the Bank A/c number and Name of Client
4. Income Proof	<ul style="list-style-type: none"> ● Mandatory if you wish to trade in Derivatives (F&O/Currency/Commodity) segments
5. Demat A/c Proof	<ul style="list-style-type: none"> ● Latest client master or Transaction / Holding statement (with name, PAN, DP & client ID).
* Documents should not be more than 3 months old	
** Documents having expiry date should be valid on the date of submission	

S.No.:

ACKNOWLEDGMENT SLIP

We acknowledge receipt of application for opening a trading and demat account from :

Mr. / Ms. / M/s. _____

As first applicant along with the documents and cheque(s).

	Towards	Amount	Cheque No.	Date	Bank Name and Branch
<input type="checkbox"/> Y <input type="checkbox"/> N	Account opening Fee (For Trading Account)				
<input type="checkbox"/> Y <input type="checkbox"/> N	Margin Amount				

Signature of Sales Executive : _____

Name : _____

Date : _____ Place : _____

- ✎ Issue **A/c payee** cheque in the favour of **SMC GLOBAL SECURITIES LTD.** SMC does not accept any fee in cash.
- ✎ You may check current status on our website by using following link : www.smctradeonline.com & click on check A/c status
- ✎ You will receive SMS & E-mail notification on activation of your account.

INDEX

S.No.	Name of the Document	Brief Significance of the Document	Page No.
Mandatory Documents as prescribed by SEBI & Exchanges			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction / check list. B. Document captures the additional information about the constituent relevant to trading account.	A1 – A4
2.	Nomination Form	Nomination form for Demat and Trading Account.	A7
3.	Disclosure	Disclosure information for pro - account trading.	A8
4.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	A9
Rights & Obligations, Risk Disclosure Document (RDD), Guidance note, Policies & Procedures			
1.	Rights and obligations (Trading)	Document stating the Right & 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).	B1 – B4
2.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B5 – B7
3.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B8 – B9
4.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	B10 – B13
5.	Rights and obligations (DP)	Rights & Obligations of Beneficial owner and Depository Participant as prescribed by SEBI and Depository	B14 – B15
Demat Account opening form and Voluntary Documents as provided by the Stock Broker			
1.	Demat Account Opening Form (CDSL/NSDL)	A. Demat Account opening Form – Document captures the basic and additional information about the constituent(s). B. Schedule of Demat charges – Document detailing the charges levied on the client for transacting in Demat account. C. Undertaking cum Indemnity – In respect of facsimile instruction for operation of depository account.	A5 - A6 A9 C1
2.	NACH Mandate	National Automated Clearing House (NACH) Mandate form for direct debit of Demat charges.	C2 – C3
3.	Demat Debit and Pledge Instruction (DDPI)	Authority to operate demat account and other permissions for smooth operations.	C4
4.	Letter of authority	Letter of authority authorizing relative for trading	C6
5.	Consent for MTF	Client consent for availing Margin Trading facility (MTF)	C6
6.	Running A/c Authorisation	Authorisation by constituent to stock broker for maintaining fund and securities on running account basis.	C7
7.	Sanction of trading limit	Sanction of trading limit on the security of collaterals	C7
8.	Authority letter	1. Adjustment of account between exchanges and segments 2. Authorization to debit Demat Account charges 3. Authorization For Communication of Financial Products 4. Authorization for verification of information from independent agency(ies) 5. Authorization for not Providing Confirmation Slips	C8
9.	Authority Letter to Send Documents Electronically	Authorisation to send Contract Note, Statement of funds & Securities, Client registration documents etc. electronically.	C8
10.	Fema/RBI Declaration	Declaration from client undertaking compliance of FEMA/RBI regulations	C9
11.	Declaration For Current Foreign Residential Address	Declaration required from the client if the correspondence and/or permanent address is Post Office Box Number (PO Box)	C9
12.	Declaration Confirming Not Been Approached By SMC	Declaration by client confirming that they have not been approached for solicitation or for investment in Indian companies	C9
13.	Merchant Navy Declaration	Declaration by client required in case of employees of Merchant Navy	C9
14.	NRI Client Code Application to be submitted By NRI to the Clearing Member (for F&O)	Declaration by client required in case of employees of Merchant Navy	C10
15.	Declaration of Holding A Single Passport For (for F&O)	Declaration required from client for holding single passport	C10
16.	Mutual Fund Service System Facility	Terms & Conditions for availing Mutual Fund services of BSE StAR / NSE MFSS facility.	C11
17.	Declaration	1. Declaration for Providing SMS and E-mail Alerts to Investors by Stock Exchanges on Mobile and Email ID of Relative. 2. Declaration to be filled if the name on documents is different. 3. Declaration to be filled if client signature is mismatched from PAN Card and Bank	C12



MONEYWISE. BE WISE.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

A) Fields marked with "*" are mandatory fields.

B) Please fill the form in English and in BLOCK letters.

C) Please fill the date in DD-MM-YYYY format.

d) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only

Application Type*

☐ New☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal☐ Simplified (for low risk customers)☐ Small☐ 1. PERSONAL DETAILS

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others <input type="text"/>			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

PHOTO

(1)

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

Country of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* Country of Birth*

☐ 3. PROOF OF IDENTITY (PoI)*(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT/PERMANENT/OVERSEAS ADDRESS DETAILS(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify

☐ Simplified Measures Account - Document Type

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T City / Town / Village* Country

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *

☐ Same as Current / Permanent / Overseas Address details

Line 1*
Line 2
Line 3 City /Town / Village*
District* Pin / Post Code* State / U.T Country

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*
Line 2
Line 3 City /Town / Village*
State* ZIP / Post Code* Country

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)

Tel. (Off) - Tel. (Res) - Mobile -
FAX - Email ID

☐ 6. DETAILS OF RELATED PERSON

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative
Prefix First Name Middle Name Last Name
Name*
(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON*

☐ A- Passport Number Passport Expiry Date
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number
☐ S- Simplified Measures Account - Document Type Identification Number

☐ 7. REMARKS (If any)

8. APPLICANT 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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : - - Place :

(2) 

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

INSTITUTION DETAILS & KYC VERIFICATION CARRIED OUT BY

Name **SMC GLOBAL SECURITIES LTD.** Code
Date - -
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

[Employee Signature]

<input type="checkbox"/> IN-PERSON VERIFICATION (IPV)
<input type="checkbox"/> DOCUMENTS VERIFIED WITH ORIGINALS
<input type="checkbox"/> CLIENT INTERVIEWED BY
Date: <input type="text"/> / <input type="text"/> / <input type="text"/>
Employee/Sub-Broker/AP Details:
Name: <input type="text"/>
Code: <input type="text"/>
Designation: <input type="text"/>
Signature: <input type="text"/>

TRADING & DEMAT ACCOUNT RELATED ADDITIONAL DETAILS

TYPE OF TRADING ACCOUNT

☐ NRE ☐ NRO ☐ Both

BANK ACCOUNT DETAILS

NRO Saving

Bank Name :

Account No. :

Branch :

IFS Code : 0

MICR Code :

NRE Saving

Bank Name :

Account No. :

Branch :

IFS Code : 0

MICR Code :

NRO PIS

Bank Name :

Account No. :

Branch :

IFS Code : 0

MICR Code :

RBI Approval Number :

RBI Date :

NRE PIS

Bank Name :

Account No. :

Branch :

IFS Code : 0

MICR Code :

RBI Approval Number :

RBI Date :

Pay-Out Option : ☐ As Per Group ☐ Cheque ☐ Online Transfer / NEFT / RTGS

☐ **Bank/MICR/IFSC proof submitted :** ☐ Cancelled Cheque (with Client Name & A/c No. pre-printed)

☐ Bank Passbook* (If hand written, then with stamp of Bank) ☐ Bank Verification Letter* (with Rubber Stamp & Sign of Bank Manager)

☐ Bank Statement* (Either on Bank Stationary or with rubber stamp & sign of Bank Manager)

**Documents should not be more than 3 months old*

DEPOSITORY ACCOUNT DETAILS

(Through which transactions will generally be routed)

☐ I/We want to open New Demat A/c ☐ NRE ☐ NRO ☐ Both

☐ I/We already have Demat A/c (Please Provide following details)

1. NRO Demat : ☐ CDSL ☐ NSDL DP ID : BOID :

Name of Depository Participant :

2. NRE Demat : ☐ CDSL ☐ NSDL DP ID : BOID :

Name of Depository Participant :

☐ Demat A/c Proof submitted : ☐ Client Master ☐ Transaction or Holding statement
(with Client Name, PAN, DP & Client ID)

TRADING PREFERENCE

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

EXCHANGE	SEGMENT	
	CASH	F & O*
NSE	(3a) <input type="checkbox"/>	(3b) <input type="checkbox"/>
BSE	(3c) <input type="checkbox"/>	(3d) <input type="checkbox"/>

* ☐ If you wish to trade in derivatives (F&O/Currency) segments, submit ANY ONE of the following income proof (Mandatory)

- | | |
|---|--|
| <input type="checkbox"/> Bank Statement/Passbook (For atleast 6 months period and last entry should not be older than 3 months) | <input type="checkbox"/> Latest Net worth Certificate by CA/CS |
| <input type="checkbox"/> Demat A/c Holding Statement (with Value & duly stamped by DP) | <input type="checkbox"/> Self Declaration along with relevant Supporting documents |
| <input type="checkbox"/> Latest ITR Acknowledgement | <input type="checkbox"/> Latest Annual Accounts |
| <input type="checkbox"/> Latest Salary Slip/Copy of Form 16 | <input type="checkbox"/> Any Other relevant documents substantiating ownership of assets |

DEMAT ACCOUNT OPENING FORM - CDSL (DPID 12019101/12019103/12027000)

I/ We request to open a Depository Account in my / our name as per the following details. Date : DDMM20YY

TYPE OF ACCOUNT

(Please ✓ whichever is applicable)

STATUS	SUB-STATUS		
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> Both
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Other (Please Specify)

ACCOUNT HOLDERS DETAILS

Name of sole/1st Holder (Mr. / Ms.) :

UID : PAN :

Name of 2nd Holder (Mr. / Ms.) :

UID : PAN :

Name of 3rd Holder (Mr. / Ms.) :

UID : PAN :

Provide KYC Application Form for all Joint Holders (Download additional KYC form from www.smctradeonline.com/download.aspx)

Nationality : ☐ Indian ☐ Other (Please Specify)

DETAILS OF GUARDIAN

In case the account holder is minor

Name of Guardian (Mr. / Mrs / Ms.) :

Relationship : PAN : P

ADDITIONAL DETAILS

Account statement requirement ☐ As per SEBI Regulation ☐ Monthly ☐ Fortnightly ☐ Weekly ☐ Daily

I/We instruct the DP to receive each and every credit in my / our account ☒ Yes ☐ No

I/We wish to receive dividend/interest directly into my/our Bank A/c through ECS (If not marked, the default option would be 'Yes'. ECS is mandatory for locations notified by SEBI from time to time.) ☐ Yes ☐ No

I/We request you to send Electronic Transaction-Cum-Holding Statement through E-mail ☐ Yes ☐ No

Please mention E-mail ID in KYC form (Page A1-Individual / A3-Non-Individual)

SMS Alert Facility on Mobile Number as given in KYC Form ☐ Yes ☐ No

Refer to T&C given in Annexure 'CDSL SMS Alert facility' on our website under download section. (Mandatory, If you have given DDPI. If DDPI is not granted and you do not wish to avail of this facility, cancel this option)

I/We would like to instruct the DP to accept all the Pledge instructions in my / our account without any other further instruction from my / our end. (If not marked, default option will be 'No') ☐ Yes ☐ No

I/We would like to share the E-mail ID with the RTA. ☐ Yes ☐ No

I/We would like to receive the annual report (If not marked, default option will be 'Physical') ☐ Physical ☐ Electronic ☐ Both

To register for easi, please visit website www.cdslindia.com [easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.]

DECLARATION

I/We have received and read the Rights & Obligations document and Terms & Conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me / us above are true and to the best of my / our knowledge as on the date of making this application. I / We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I / We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action. I/ We request to open a Depository Account in my / our name as per the above details.

	Sole / First Holder/ Authorised Signatory	Second Holder/ Authorised Signatory	Third Holder/ Authorised Signatory
Signature	(4)	(1)	(1)

(In case of more authorised signatories, please add annexure)

DEMAT ACCOUNT OPENING FORM - NSDL (DPID IN303655)

I/ We request to open a Depository Account in my / our name as per the following details. Date : D D M M 2 0 Y Y

TYPE OF ACCOUNT (Please ✓ whichever is applicable)

STATUS	SUB-STATUS		
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> Both
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Other <small>(Please Specify)</small>

ACCOUNT HOLDERS DETAILS

Name of sole/1st Holder (Mr. / Ms.) : PAN :

Name of 2nd Holder (Mr. / Ms.) : PAN :

Name of 3rd Holder (Mr. / Ms.) : PAN :

Provide KYC Application Form for all Joint Holders (Download additional KYC form from www.smctradeonline.com/download.aspx)

Nationality : ☐ Indian ☐ Other (Please Specify)

DETAILS OF GUARDIAN

In case the account holder is minor

Name of Guardian (Mr. / Mrs / Ms.) : PAN : P

Relationship :

ADDITIONAL DETAILS

I/We authorise you to receive credits automatically into my / our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Demat Debit and Pledge Instruction (DDPI)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We request you to send Electronic Transaction-Cum-Holding Statement through E-mail	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Please mention E-mail ID in KYC form (Page A1-Individual / A3-Non-Individual)		
SMS Alert Facility on Mobile Number as given in KYC Form <small>(Mandatory, If you have given DDPI.)</small>	Sole / Ist Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	IIInd Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	IIIrd Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
Mode of receiving statement of account <small>(Tick any one)</small>	<input type="checkbox"/> Electronic	<input type="checkbox"/> Physical

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant. I/ We request to open a Depository Account in my / our name as per the above details.

	Sole / First Holder / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Signature	(5)	(2) <input checked="" type="checkbox"/>	(2)

(In case of more authorised signatories, please add annexure)

Please visit download section of our website www.smctradeonline.com for 'Notes and Instruction' to fill demat account opening and nomination form

NOMINATION FORM
FOR INDIVIDUAL ONLY
Nomination Details

I/We wish to make a nomination. [As per details given below] I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account.		Details of 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally <input type="checkbox"/> [If not equally, specify %]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s) City / Place: State & Country: PIN Code			
5	Mobile/Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:				
8	Date of Birth (in case of minor nominee(s))			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }			
10	Address of Guardian(s) City / Place: State & Country: PIN Code			
11	Mobile/Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

CLIENT SIGNATURE *

	First / Sole Holder	Second Holder	Third Holder
Sign of Client	(6)	(3)	(3)
Date :	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>2</div> <div>0</div> <div>Y</div> <div>Y</div> </div> Place :		

Note: This nomination shall supersede any prior nomination made by the account holder(s), if any.

DECLARATION FORM FOR OPTING OUT OF NOMINATION
FOR INDIVIDUAL ONLY

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

NAME AND SIGNATURE OF HOLDER(S)*

	First / Sole Holder	Second Holder	Third Holder
Name			
Sign of Client	(7)	(4)	(4)
Date :	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>2</div> <div>0</div> <div>Y</div> <div>Y</div> </div> Place :		

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

DISCLOSURE

Dear Client, This is to inform you that we do client based trading and pro-account trading in NSE, BSE, MCX, NCDEX and ICEX.

For **SMC GLOBAL SECURITIES LTD.**




Authorised Signatory

OPTION FOR DIS BOOKLET

- ☐ **OPTION 1:** I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL/NSDL account though I / we have issued a Demat Debit and Pledge Instruction (DDPI) in favour of SMC Global Securities Limited for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member.
- Or
- ☐ **OPTION 2:** I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a DDPI in favour of SMC Global Securities Limited and/or will be using eDIS facility for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

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.
- 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 and all voluntary / Non-voluntary documents.
- 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.
- I/We declare that SMC Global Securities Limited, the brokers, has put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

CLIENT SIGNATURE			
	First / Sole Holder	Second Holder	Third Holder
Sign of Client	(8) 	(5) 	(5) 
Date :	Place :		

DETAILS OF POLITICALLY EXPOSED PERSONS (PEP)/ RELATED TO POLITICALLY EXPOSED PERSON (RPEP)

For-Non-individual

S.No.	Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.	
1.			PEP <input type="checkbox"/>	RPEP <input type="checkbox"/>
2.			PEP <input type="checkbox"/>	RPEP <input type="checkbox"/>
3.			PEP <input type="checkbox"/>	RPEP <input type="checkbox"/>
4.			PEP <input type="checkbox"/>	RPEP <input type="checkbox"/>

Signature of authorised signatory

(9) 

PEP: Politically Exposed Person RPEP: Related to politically Exposed Person

BROKERAGE STRUCTURE

SEGMENT	%	Minimum	Options		
			%	Min per lot	Max per lot
Cash (Intraday)					
Cash (Delivery)					
Cash (Trade to Trade)					
F&O					

- Note :**
- Rs. 25/- will be charged minimum per segment.
 - Securities Transaction Tax (STT) & Commodities Transaction Tax (CTT), GST, Other Charges, Stamp Duty and Other Statutory Charges will be levied separately as applicable from time to time.
 - Transaction charges will be levied extra as per Company policy as applicable from time to time.
 - The company reserves the right to review brokerage, transaction charges and other charges within limits set by SEBI, with sufficient prior notice.

TARIFF SHEET

Scheme Particulars	Regular Scheme [%]		LIFE-5 Scheme (5 Year upfront AMC) [#]	
	NRE	NRO	NRE	NRO
Please select	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Account Opening Charges [^]	1200	1200	4150	4150
Account Maintenance Charges (AMC)	1000	1000	Nil (for 5 Years)	
Common Tariff applicable to all Scheme				
Market Sell Transaction Charges - DDPI	0.02% subject to Min 20/- & Max 100/- per Instruction			
Market Sell Transaction Charges - NON DDPI	0.03% subject to Min 25/- & Max 100/- per Instruction			
Off Market Transaction Charges	0.03% subject to Min 30/- & Max 100/- per Instruction			
Dematerialisation	20/- Per Certificate (Rs. 30/- for 1st Certificate) Courier Charges Extra (Rs.25/- for Local & Rs.40/- for outstation courier)			
Rematerialisation	30/- per Certificate (1 Certificate / 100 shares) Courier Charges Extra (Rs.25/- for Local & Rs.40/- for outstation courier)			
Additional Statement Charges	5/- Per page, postal/courier charges will be extra (Applicable on daily/weekly/fortnightly statement also)			
MF Restat/Redemption Charges	25/- per Instruction	Demat Rejection/DIS Rejection Charges	25/- Per Instance	
Pledge Creation	60/- per Instruction	Pledge Closure / Invocation	30/- per Instruction	
Delivery Instruction Book Charges	30/- (20 Leafs)	Delivery Instruction Slip by FAX	5/- Per Instruction	
Client Modification/CML Charges	25/- Per request	Additional Client Master Charges	25/- Per request	

TERMS & CONDITIONS:

^ Account Opening Charges are inclusive of Goods and Service Tax (GST). For all remaining charges, Goods and Service Tax (GST) will be levied separately.

% First year AMC is free in regular scheme accounts. From next year onwards, AMC as per schedule of charges will be levied.

AMC of Rs. 2500/- plus GST will be levied at the end of 5 year.

- Other Charges:** Cash Segment - Max of 0.02% on Transaction Value, Futures Segment - Max of 0.006% on transaction Value, Options Segment - Max of 0.006% on Transaction Value. Other Charges represents a consolidated charge towards providing various value added services such as Trade confirmation SMS, Electronic Account Access, Portfolio Tracker, access to research reports, Market News SMS and other value added services.
- If no transaction is done in any Calendar Quarter then Diet application will be deactivated and Rs 250 shall be levied on reactivation request.
- The Company reserves the right to modify/add/withdraw any scheme at any time without prior notice. In case of any upward revision in charges, 30 days notice would be given by email/post shall be treated as sufficient notice.
- AMC will be charged yearly in advance. Any Service not mentioned above will be charged extra.
- In case of non-payment of bills/ dues within 15 days of due date, the DP services are liable to be discontinued within a period of 30 days from the date of demand. The renewal charges for resuming the services will be Rs. 100/-.
- Security deposit for CDSL's 'easiest' facility (optional) is Rs. 2,500/-.
- Demat Charges for on market sale transactions will be debited directly in client's bill.
- If NOW is activated for other than NSE, then Rs. 150 plus GST per segment will be charged every month or part thereof

I/We have read the above given information and agree to pay the same. I/We authorize you to debit the trading account maintained with you for the account opening charges for trading account payable to you. Any such sum debited to my account shall be binding on me/us.

CLIENT SIGNATURE			
	First / Sole Holder	Second Holder	Third Holder
Sign of Client	(10)	(6)	(6)



UMRN¹ Date²

(tick ✓)⁷ Sponsor Bank Code³ Utility Code⁴

CREATE ☒ I/We hereby authorize⁵ to debit (tick ✓)⁶

MODIFY ☐ SMC Global Securities Limited

CANCEL ☐ Bank Account Number⁸

With Bank⁹ IFSC¹⁰ or MICR¹¹

an amount of Rupees¹² (Name of Customers Bank)

14 FREQUENCY ☒ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☒ as & when presented 15 DEBIT TYPE ☒ Fixed Amount ☒ Maximum Amount

Reference-1¹⁶ Phone No¹⁸

Reference-2¹⁷ Email ID¹⁹

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

20 PERIOD From To

☒ Until Cancelled

(12) * Signature of the account holder (8) ☒ * Signature of the account holder (8) ☒ * Signature of the account holder

Name of the account holder Name of the account holder Name of the account holder

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the User entity/Corporate to debit my account, based on the instructions as agreed and signed by me.
- I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the User entity/corporate or the bank where I have authorized debit.

MANDATE INSTRUCTION (Refer Instruction over leaf before filling)



UMRN¹ Date²

(tick ✓)⁷ Sponsor Bank Code³ Utility Code⁴

CREATE ☒ I/We hereby authorize⁵ to debit (tick ✓)⁶

MODIFY ☐ ICCL

CANCEL ☐ Bank Account Number⁸

With Bank⁹ IFSC¹⁰ or MICR¹¹

an amount of Rupees¹² (Name of Customers Bank)

14 FREQUENCY ☒ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☒ as & when presented 15 DEBIT TYPE ☒ Fixed Amount ☒ Maximum Amount

Reference-1¹⁶ Phone No¹⁸

Reference-2¹⁷ Email ID¹⁹

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

20 PERIOD From To

☒ Until Cancelled

(13) * Signature of the account holder (9) ☒ * Signature of the account holder (9) ☒ * Signature of the account holder

Name of the account holder Name of the account holder Name of the account holder

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the User entity/Corporate to debit my account, based on the instructions as agreed and signed by me.
- I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the User entity/corporate or the bank where I have authorized debit.

MANDATE INSTRUCTION (Refer Instruction over leaf before filling)

* Signature should be same as in bank record.

*Bank may levy charges for NACH Mandate Registration.

Instructions to fill Mandate:

- | | |
|---|--|
| 1. UMRN-To be left blank | 12. Amount in words |
| 2. Date in DD/MM/YYYY format | 13. Amount in figures |
| 3. Sponsor Bank IFSC/MICR code, left padded with zeroes where necessary. (Maximum length -11 Alpha Numeric Characters). | 14. Frequency at which the debit should happen |
| 4. Utility Code: Unique code of the entity to whom mandate is being given - To be provided by the entity. | 15. Whether the amount is fixed or variable |
| 5. Name of the entity to whom the mandate is being given | 16. Reference-1 : Any details requested by the entity to whom mandate is being given |
| 6. Account type - SB /CA/ CC / SB-NRE / SB-NRO / OTHER | 17. Reference - 2 : Any details requested by the entity to whom mandate is being given |
| 7. Tick - Select your appropriate Action | 18. Your phone number |
| a. Create - For New Mandate | 19. Your email id |
| b. Modify - For Changes/Amendment on existing mandate | 20. Period for which the debit mandate is valid |
| c. Cancel - For cancelling the existing registered Mandate | a. Start date |
| 8. Your Bank Account Number for debiting the amount | b. End Date |
| 9. Name of your bank and branch | c. Or until cancelled |
| 10. Your Bank branch IFSC code OR | 21. Signatures of the account holder |
| 11. Your Bank branch MICR code | 22. Name of the account holder |
-

Instructions to fill Mandate:

- | | |
|---|--|
| 1. UMRN-To be left blank | 12. Amount in words |
| 2. Date in DD/MM/YYYY format | 13. Amount in figures |
| 3. Sponsor Bank IFSC/MICR code, left padded with zeroes where necessary. (Maximum length -11 Alpha Numeric Characters). | 14. Frequency at which the debit should happen |
| 4. Utility Code: Unique code of the entity to whom mandate is being given - To be provided by the entity. | 15. Whether the amount is fixed or variable |
| 5. Name of the entity to whom the mandate is being given | 16. Reference-1 : Any details requested by the entity to whom mandate is being given |
| 6. Account type - SB /CA/ CC / SB-NRE / SB-NRO / OTHER | 17. Reference - 2 : Any details requested by the entity to whom mandate is being given |
| 7. Tick - Select your appropriate Action | 18. Your phone number |
| a. Create - For New Mandate | 19. Your email id |
| b. Modify - For Changes/Amendment on existing mandate | 20. Period for which the debit mandate is valid |
| c. Cancel - For cancelling the existing registered Mandate | a. Start date |
| 8. Your Bank Account Number for debiting the amount | b. End Date |
| 9. Name of your bank and branch | c. Or until cancelled |
| 10. Your Bank branch IFSC code OR | 21. Signatures of the account holder |
| 11. Your Bank branch MICR code | 22. Name of the account holder |
-













DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

I/We agree to the terms and conditions of Demat Debit & Pledge Instructions (herein referred after to as DDPI) between the undersigned individual(s)/entities (hereinafter referred to as client(s)) and SMC Global Securities Limited (hereinafter referred to as SMC) a company duly incorporated under the Companies Act, 1956 and having Registered Office at 11/6B, Shanti Chamber, New Delhi-110005.

Whereas SMC is a SEBI registered Stock Broker & Depository Participant and is providing stock broking and depository participant services to their registered clients. Whereas SMC has the following Principal account / Clearing Member account / Early pay-in / Pool / Margin Pledge accounts /CMBP IDs to receive securities from the clients:

12019101 00000412	CDSL BSE Pool	11000010 00013363	CDSL BSE early pay-in A/c
12019101 00000372	CDSL NSE Pool	11000011 00014914	CDSL NSE early pay-in
IN564844	NSDL NSE Pool	12019101 04319878	CDSL CM Client Securities Margin Pledge
IN655267	NSDL BSE Pool	IN303655 10227156	NSDL CM Client Securities Margin Pledge
12019101 02068772	CDSL MSEI Pool	1201910 104319903	CDSL Client securities Margin Funding
IN471837	NSDL MSEI Pool	IN303655 10229625	NSDL Client Securities Margin Funding

Whereas, the Client(s) are desirous of availing various broking and depository participant services offered by SMC and for the purpose of facilitating the transactions and services in broking and/or depository account(s) in a seamless manner, the Client(s) authorise SMC to execute instructions and perform severally the following acts by accessing the beneficial owner account(s) of Client(s):

S. No.	Purpose	Signature of Client
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	(14)  Signature of 1st / Sole Holder
		(10)  Signature of 2nd Holder
		(10)  Signature of 3rd Holder
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	(15)  Signature of 1st / Sole Holder
		(11)  Signature of 2nd Holder
		(11)  Signature of 3rd Holder
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	(16)  Signature of 1st / Sole Holder
		(12)  Signature of 2nd Holder
		(12)  Signature of 3rd Holder
4.	Tendering shares in open offers through Stock Exchange platforms.	(17)  Signature of 1st / Sole Holder
		(13)  Signature of 2nd Holder
		(13)  Signature of 3rd Holder


This DDPI document is made on the date and place mentioned hereunder:

Client Name			
Demat DP ID & Client ID		Trading Code	
Date	___/___/20___	Place	

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LETTER OF AUTHORISATION - AUTHORISED TRADING BY RELATIVE

1. I, the undersigned write to notify you that I have appointed Mr./Ms. _____
[having residential address _____
Phone No. _____ Mobile No. _____ Email address _____] (hereinafter
called the 'Agent') who is my Father/ Mother/ Son/ Daughter/ Spouse* to act on my behalf to give buy or sell instructions on all
exchanges and give trade confirmation of every type and description including but not limited to Cash, Futures, Options, Currency
and Commodity Segments. (*score out the inapplicable and attach proof of relationship e.g. Ration card/ marriage certificate/ Voter
ID)
2. I ACKNOWLEDGE THAT PRIOR TO COMPLETING AND EXECUTING THIS LETTER I HAVE READ AND UNDERSTOOD THE
DISCLOSURE STATEMENT PRINTED BELOW.
3. I further declare and agree that:-
 - (a) my agent shall have power as my agent to act as fully and effectually for the purpose(s) as I could do personally;
 - (b) all acts and matters previously done by my Agent in respect of my account(s) opened and maintained with you are hereby
deemed ratified and confirmed; and
 - (c) notwithstanding the authorisation given to my Agent above, I may still communicate instructions to you personally. However, in
the event of any inconsistency between instructions communicated by my Agent and instructions communicated by me
personally, you shall have the absolute discretion (but shall not obliged) to act upon the instructions communicated last in time
and in your sole opinion considered capable of being acted upon, and in so acting you shall not be liable for any loss
whatsoever and howsoever arising.
4. I further acknowledge that my appointment of my Agent is made by me of my own free will and as a result of my own judgment and
deliberations. You shall accordingly be under no liability whatsoever in respect of any loss or damage which I may suffer or incur as a
result of the acts or omissions of my Agent (including any acts involving dishonesty, criminal breach of trust, theft or other criminal
offences). I further agree to be fully responsible for such acts or omissions of my Agent and shall indemnify and hold you harmless from
any and all claims, liabilities, penalties, adverse consequences, losses, damages, costs or expenses (including legal fees on a full
indemnity basis) which you may incur, be subjected to or suffer, arising out of, in relation to or in connection with, your relying on or acting
in accordance with acts and /or omissions of my Agent within the scope of my Agent's ostensible authority. I also acknowledge that you
are not obliged to ascertain or enquire into the terms and conditions on which my Agent was appointed, the context or circumstances in
which any decision was taken by my Agent, the soundness of such decision or the purpose for which any of the decisions were taken.
5. The appointment of my Agent and authority conferred shall continue until written notice of revocation by me is received by you. I
undertake to ratify and confirm all acts and things done by my Agent on my behalf until your receipt of such notification.
6. I acknowledge that I have received a copy of the following Risk Disclosure and understand its contents. I am signing this letter of
authorisation after having reviewed the risks pointed out to me and am willing to accept the same and I am signing this letter of
authorisation voluntarily.

(18) 
Signature of Client

DISCLOSURE STATEMENT


PLEASE DO NOT SIGN THIS LETTER OF AUTHORISATION IF YOU DO NOT FULLY UNDERSTAND THE CONSEQUENCES OF
SIGNING IT. This letter of authorisation is an IMPORTANT DOCUMENT. By signing it, you are authorising your Agent to enter into
trading transactions on your behalf. You should know that your Agent will be acting as your agent. We will therefore not be responsible
for any acts or omissions of your Agent in respect of any acts and/or things which may be done by him or her in exercise of authority you
have given by signing this letter. In particular, we will not be responsible for any theft, misappropriation or other criminal, fraudulent or
negligent acts of your Agent with respect to your share transactions or any loss due to his/her incompetence, inexperience or
negligence. Please also particularly note that in granting this discretionary trading authority your Agent may affect trading transactions
without reference to you.

CONSENT FOR AVAILING MARGIN TRADING FACILITY (MTF)

I/We wish to avail the Margin Trading Facility (MTF) on the platform of National Stock Exchange of India Limited and BSE Limited as per
the framework prescribed by SEBI vide its' circular No. CIR/MRD/DP/54/2017 dated Jun 13, 2017.

Further, I/We have read and understood "Rights and Obligation of Stock Brokers & Client for Margin Trading Facility (MTF)" as prescribed by
NSE vide its Circular No. NSE/COMP/35260 dated June 30, 2017 and BSE vide its Circular No. 20170619-26 dated June 19, 2017.

I/We have read & understood the "Policies & Procedures for MTF" as specified by SMC Global Securities Limited regarding terms and
conditions of Margin Trading Facility, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of
collateral/security/positions etc and agreed to abide by the clauses mentioned therein all the times. Further, I/we will refer to SMC's
website from time to time for any updation w.r.t policies & procedures.

(19) 
Signature of Client

AUTHORISATION WHEN A CLIENT WANTS TO MAINTAIN A RUNNING ACCOUNT
(As per SEBI Guidelines vide circular MIRSD/ SE /Cir-19/2009 Dt. December 3, 2009)

I/We confirm that I/We am/are desirous of regularly dealing in CM, F&O, CDS and Commodity segments of the stock exchange(s). I/We request you to maintain the account for funds, with you on a running account basis. I/we also request you to consider the balances in my/our running funds account for the purpose of margins/any other of my/our obligations due to you. I/We understand and agree that no interest will be payable to me/us on the amounts so retained by you.

I/We agree and empower/authorize you

- To act in your discretion of merging balances kept under various accounts held with the you, such as CDSL / NSDL DP Account, CM Trading Account, F&O Trading Account, Currency Trading Account, Commodity Trading Account, Online IPO / MF Account and MFSS etc., to nullify the debit in any of my/our other account held with you without taking any further instructions from me/us;
- To debit my/our trading account towards depository charges payable by me/us to the designated depository participant and make onward payment to the designated depository participant upon receipt of intimation from the designated depository participant;

I/We have the liberty to revoke this authorization at any time in writing with prospective effect. While settling the account you will be sending me/us a 'statement of account', containing an extract from the client ledger for funds and an extract from the register of stocks displaying all receipts/deliveries of funds/stocks. The statement shall also explain the retention of funds/stocks. Such periodic settlement of the running account shall not be necessary when (a) I start availing margin trading facility as per SEBI circulars; or (b) The margin provided by me to you is in the form of Bank Guarantee (BG)/Fixed Deposit Receipt (FDRs).

On actual settlement date you may retain the requisite stocks/funds towards any outstanding obligation and may also retain additional margin requirement on the day of settlement to take care of my margin obligation arising in the next 5 trading days, calculated in the manner specified by respective Exchanges.

I will bring any discrepancy or dispute arising from the Statement of account so issued by you or the settlement made by you to your notice preferably within 7 working days from the date of receipt of funds / stocks or statement as the case may be.

I/We understand that, unless otherwise required to meet my obligations for margin or on settlement you shall transfer the funds/stocks lying with you in credit of my/our account within one working day and those lying with the Clearing Member or Clearing Corporation within three working days of my request for transfer.

My/Our preference for actual settlement of funds and stocks is at least:

☐ Once in a Calendar Quarter ☐ Once in a Calendar Month

I/We further authorize you to retain an amount of up to Rs. 1,000/- (net amount across segment and across stock exchanges) in order to avoid administrative/operational difficulties in settling my/our account. The same can be release on my/our specific request

Please score out whatever not accepted/ not agreed with.

(20) 
Signature of Client

Date : 2 0


SANCTION OF TRADING LIMIT ON THE SECURITY OF COLLATERALS

I/we wish to avail and enjoy from time to time trading limits against security of my/our shares and securities in my/our Demat Account(s) with your DP. I/we understand that the limit to be sanctioned to me/us will be based on the value of the securities after hair-cut as applicable from time to time and will be in the sole discretion of SMC.

I/we undertake not to withdraw or otherwise dispose off any of the securities on which limit is granted and you shall be fully entitled to ignore or reject my/our debit/payment instructions in whole or in part so as to first provide for the security cover to my/our trades allowed by you. You shall be fully authorized to adjust any sale proceeds of securities in my/our trading account to first reduce the limit before returning to me/us.

All the dues in the trading account including those in respect of trades utilizing the limits granted to me/us shall be my/our liability and you shall be further entitled to exercise the Power of Attorney separately granted to you with all the powers therein, in respect of my DPA/c and Bank A/c in relation to my/our trading account, for the purpose of pay-in obligations and/or to liquidate debit balance and/or to meet margin or losses in respect of the trades in the said trading account.

I/We declare that the security shall be a continuing security and will be operative even though limit is utilized in part or not utilized or nothing or part is due in the trading account, unless on my/our request and in view of the overall position of my/our obligations and funds and other security, if any, the limit is reduced or the securities are released for the purposes of limit.

(21) 
Signature of Client

AUTHORITY LETTER

With respect to the client - member relationship with you, we authorize you to do the following:

- 1) **Adjustment of account between exchanges and segments** : I/we hereby inform you that I have executed/intend to execute an agreement with you for trading on different exchanges in CM, F&O, CDS and Commodity segments. I/We request you to transfer, make adjustments and/or set off a part or whole of the stocks placed as collaterals and/or any surplus funds in any of the accounts maintained with you against the outstanding dues payable if any, by me/us to any of my/our account(s) maintained with you. You will have lien on the credit balance in any of my/our account for meeting the debit or obligations in progress in any other of my/our account. Any entries passed by you in accordance with this authorization will be binding on me/us.
- 2) **Authorization to debit Demat Account charges** : I/We opened/ have a Beneficiary account with you and I/we have a trading account with you for investment and trading purpose. It will be very difficult for me/us to issue separate cheques against your depository bills. Hence, I authorize you to debit the trading account for the debit charges payable to you as Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.
- 3) **Authorization For Communication of Financial Products** : I/We have opened an account with you and am/are interested in knowing about other financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which SMC Global Securities Ltd., its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute; through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.
- 4) **Authorization for verification of information from independent agency(ies)** : I/We, do hereby certify that the information provided by me/us in this account opening form is true and correct in all respects and SMC Global Securities Limited (SMC) is entitled to verify this directly or through any third party agent. I/We further acknowledge the SMC's right to seek any information from any other source in this regard. I/We do understand that all the information will form the basis of any facility that SMC may decide to grant me/us at its sole discretion. I/We consent and authorize SMC to share or generate subsequently any report through CIBIL or authorized agency/bureau.
- 5) **Authorization for not Providing Confirmation Slips** : I / We authorize you not to provide me / us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I / We shall get the required details from contract notes issued by you.

Please score out whatever not accepted/ not agreed with.

(22) 

Signature of Client

AUTHORISATION TO SEND CONTRACT NOTE, STATEMENT OF FUNDS & SECURITIES ETC. ELECTRONICALLY

I/we authorise you to issue the contract notes, statement of funds & stocks, circulars, amendments, Client Registration Documents and such other documents in electronic mode in lieu of physical mode on my E-mail ID as given in KYC form and updated from time to time.

Any change in the E-mail ID shall be communicated by me / us in writing to your customer care department or through secured login available on your website.

Further, to my /our authority to you to issue Contract Notes in digital format I/we authorise you not to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from the Contract Notes issued to us.

I/We authorize you to send periodic statements of funds and stocks & margin statement etc. in digital format at my Email address unless I/We request you in writing to send them in paper form.

I/We hereby acknowledge that all the documents as send above by SMC electronically will be considered as having delivered to me once the e-mail leaves the SMC e-mail server unless the same is rejected by client e-mail server and bounced mail notification is not received by SMC. I/We further agree that in the absence of communication from my/our end regarding non-receipt of documents through e-mail, or notification of any discrepancy within 2 days from the date of issuance of digital contract note through e-mail, SMC may construe that there is a deemed acknowledgement of the document(s) send to client electronically


(23) 

Signature of Client

FEMA/RBI DECLARATION (COMPULSORY)

I/We hereby undertake that I/we had already complied with all the formalities with regard to FEMA and RBI regulations. I/We hereby also undertake that I/we will continue to comply with regulations under Foreign Exchange Management Act, 2000 and Reserve Bank of India Act, 1934 as amended from time to time.

Name of Client : _____


(24) 
Signature of Client

DECLARATION FOR CURRENT FOREIGN RESIDENTIAL ADDRESS (COMPULSORY)

I/We hereby declare that my/our current foreign residential address is as follows:

Further, I/We undertake that whenever there is a change in the residential address, it will be informed to SMC at the earliest. However, for correspondence, I/we have given the Post Office Box number which may be accepted as my/our correspondence in the demat & trading account opened with SMC.

Name of Client : _____


(25) 
Signature of Client

DECLARATION CONFIRMING NOT BEEN APPROACHED BY SMC (COMPULSORY)

Sub: Declaration confirming not been approached by SMC for solicitation or for investment in Indian companies

I/We hereby confirm that I/We have not been approached by SMC Global securities Limited or anybody on its behalf for solicitation or for any investment or advice for investment in any company in India. All investment decisions are/shall be my/our own, based on independent information, research and knowledge gathered from published materials and internet sites available anywhere in the world and other sources.

Name of Client : _____

(26) 
Signature of Client


MERCHANT NAVY DECLARATION

I hereby confirm that I have just returned after completion of my contract with _____
_____ (name of company) registered in _____
_____ (address of the principals)

I am on a break for _____ days / months and will be joining on a new contract on/by _____ (date/timeframe). I request you to kindly open NRE depository and trading accounts in my name on the basis of the documents submitted.

I also confirm that I will inform you in case I am unable to proceed on a new contract or choose not to go on a new contract, and have the non-resident accounts opened in my name redesignated to normal/resident trading accounts (if eligible).

Name of Client : _____

(27) 
Signature of Client

**NRI CLIENT CODE APPLICATION TO BE SUBMITTED BY NRI TO THE CLEARING MEMBER
(FOR F&O)**

To,
SMC Global Securities Limited
11/6B, Shanti Chamber, Pusa Road, New Delhi-110005

Subject: Application for the allotment of NRI code.

Dear Sir,

I wish to appoint you as my Clearing Member for clearing and settlement of trades done on the futures and options segment of NSE. My details are as follows:

Name (as appear in Passport)

Passport No. _____

NRE/NRO Bank A/c No. _____

Telephone No. _____

Email ID : _____

Current Address _____

Permanent Address in India _____

We request you to kindly get an NRI client code allotted by NSE/NSCCL for the same.

I undertake that all the trades executed through the above allotted NRI Client code will be on my* behalf.

(*If the NRI Client code application is for an HUF then the details of the Karta (Manager) has to be given in the application and in the undertaking should be provided as follows: "I undertake that all the trades executed through the above allotted code will be on behalf of HUF")

Yours sincerely,

Name of Client : _____

(28) 

Signature of Client

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Place :

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

DECLARATION OF HOLDING A SINGLE PASSPORT FOR (F & O)

To,
National Stock Exchange of India Ltd.
India

Subject: Declaration of holding a single passport

Dear Sir/Madam

I _____ S/o _____
resident at _____ Be
and hereby declare and confirm that I am holding only a single passport in my name vide passport
number _____ and will not be applying for custodian participant code on the base of any other passport
number.

Yours sincerely

Name of Client : _____

(29) 

Signature of Client

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Place :

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

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd./ National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the BSE StAR MF/MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF/ MFSS of the Exchange.

For the purpose of availing the BSE StAR MF/ MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF/ MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 24, November 2009 & 2, December, 2009 for NSE & BSE Respectively and as may be specified by the Exchanges from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS/ BSE StAR MF.

Details of terms & conditions for the Investor / Client for using New BSE StAR MF / MFSS facility


1. Pre-requisites for becoming Investor / Client for the BSE StAR MF/MFSS facility

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the New BSE StAR MF/MFSS.
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New BSE StAR MF/MFSS.
- 1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
- 1.4. The Client has approached to the Participant with the application for availing the New BSE StAR MF/MFSS facility.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants

2. Terms and Conditions

- 2.1. The client shall be bound by circulars issued by BSE/NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New BSE StAR MF/MFSS or at any time thereafter.




- 2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of the BSE, NSEIL, SEBI and AMFI.
- 2.7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- 2.8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or BOISL / NSEIL or NSCCL.
- 2.10. In case of any dispute between the Participants and the investors arising out of the BSE StAR MF Fund / MFSS facility, BSE and/or BOISL and NSEIL and /or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

(30) 
Signature of Client

DECLARATION FOR PROVIDING SMS/E-MAIL ALERTS AND OTHER REPORTS ON RELATIVE EMAIL/MOBILE

I hereby declare that the Mobile Number and/or Email ID given in the account opening form are of my relative. He / She already has a trading account with SMC Global Securities Limited under the below mentioned PAN or UCC.

"I request you to please accept his/her mobile number and/or E-mail ID for the purpose of sending SMS/Email alerts/ ECN and/or any other reports by the Stock Exchange/Depository/SMC to me."

	First / Sole Holder	Second Holder	Third Holder
Relationship with the person whose Mobile /E-mail Id is provided	<input type="checkbox"/> Spouse <input type="checkbox"/> Dependent parent <input type="checkbox"/> Dependent child <input type="checkbox"/> Karta/Authorized Signatory	<input type="checkbox"/> Spouse <input type="checkbox"/> Dependent parent <input type="checkbox"/> Dependent child <input type="checkbox"/> Karta/Authorized Signatory	<input type="checkbox"/> Spouse <input type="checkbox"/> Dependent parent <input type="checkbox"/> Dependent child <input type="checkbox"/> Karta/Authorized Signatory
PAN/UCC/Demat of relative			
Signature of Client			

DECLARATION FOR NAME MISMATCH
(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per PAN CARD _____

Name as per Address Proof _____

Name as per Bank Proof _____

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep SMC indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by SMC for any act done or omitted to be done on the above declaration.


Signature of Client

DECLARATION FOR SIGNATURE MISMATCH
(To be filled if client's signature is mismatched from PAN Card and Bank)

This is to bring into your notice that my signature on PAN Card / Bank and account opening form are as follows:

Signature as per Bank

Signature as per Account
Opening Form

Signature as per PAN Card

I hereby confirm that all the above signatures are mine. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep SMC indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by SMC for any act done or omitted to be done on the above declaration.

Name of the Applicant : _____



MONEYWISE. BE WISE.

FOR OFFICE USE ONLYUCC :

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.

FOR & ON BEHALF OF SMC GLOBAL SECURITIES LIMITEDName :

Signature :

Signature of the Authorised Signatory

Date :

(Seal / Stamp of SMC Global Securities Ltd.)

DETAIL OF INTRODUCER AND SMC SUB-BROKER / AP

- ☐ Authorised Person Registration No.
- ☐ Sub-Broker Registration No.
- ☐ Remisier / BDR Code :
- ☐ RM Emp. Code :
- ☐ Existing Client UCC :
- ☐ Others (Please Specify)

Signature of the Introducer

Name : PAN : Address : Pin : State : Phone / Fax : E-mail / Website : **FOR BRANCH PURPOSE ONLY**

	Name	Employee/BDR Code	Signature
Introducer / BDR			
Relationship Manager			
Dealer			

BROKERAGE APPROVAL (if required)Name of Approving Officer : Designation : Branch / Location : Date : Signature of Branch Head /
Zonal Head / Director**CHEQUE DETAILS**

	Towards	Amount	Cheque No.	Date	Bank Name and Branch
<input type="checkbox"/> Y <input type="checkbox"/> N	Account opening Fee (For Trading Account)				
<input type="checkbox"/> Y <input type="checkbox"/> N	Margin Amount				

<input type="checkbox"/> CVL	<input type="checkbox"/> NDML	<input type="checkbox"/> DOTEX	<input type="checkbox"/> CAMS	<input type="checkbox"/> KARVY	VERIFICATION CALL TO CLIENT		
<input type="checkbox"/> NEW KRA KYC					Date	Time	Remarks
<input type="checkbox"/> MODIFY KRA KYC WITH DOCUMENTS							
<input type="checkbox"/> MODIFY KRA KYC WITHOUT DOCUMENTS							

Activity	Name
Form Verified by	
Data punched by (2520)	
Data punched by (2522)	
Code generated by (378)	
DP Verified by	
Brokerage punched by	

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NSE INB/INF/INE 230771431, BSE INB/INF 011343937, MSEI INB/INF 260771432 INE 260771431, CDSL/NSDL-IN-DP-130-2015 (SMC Global Securities Ltd.), NCDEX/MCX (8200)/ NMCE/ICEX-INZ000035839 (SMC Comtrade Ltd.), PMS INP000003435 (SMC Investments and Advisors Ltd.) IRDAI Regi: No: DB 272/04 License No. 289, Valid upto 27/01/2020 (SMC Insurance Brokers Pvt. Ltd.), Merchant Banker INM000011427 (SMC Capitals Ltd.)

Award Sources: NSE Market Achievers Awards 2017. Commodity Broker of the Year 2017, ASSOCHAM Excellence Awards 2017 & 2016. Skoch - BSE Market Leadership Awards 2016. India's Best Real Estate Broker of the year, Realty Fact Awards. ABP News Real Estate Awards - 2015. BSE IPF-D&B Equity Broking Awards 2014, 2013 & 2012. Zee Business - India's Best Market Analyst Awards.