



Application No. _____

To be filled by Branch / RM / Client

Whom to contact in case of any Discrepancy in AOF :	Payment Details :
Contact Person Name :	Cheque No.:
Contact No. :	Cheque Date :
Group Code :	Cheque Amount :
Scheme Code :	Bank Details :

IN-PERSON VERIFICATION
GLOBE CAPITAL MARKET LIMITED
DP Id : IN300966 (NSDL)
Name of the DP Staff Signature.....
Date Place :
Signature of Applicant

(1) _____ _____ _____
1st Holder 2nd Holder 3rd Holder



GLOBE CAPITAL MARKET LIMITED

804, Ansal Bhawan, 16 K.G. Marg, Connaught Place, New Delhi-110001

Phones : 43666400 (30 Lines) • Fax : 91-11-23720880, 23712630

Website : www.globecapital.com

E-mail : globedp@globecapital.com

DP ID : IN300966

APPLICATION FORM FOR OPENING ACCOUNT

INDIVIDUAL **NRI** **FOREIGN NATIONAL**

Internal Ref. No. _____ Date _____ Account No. _____

Holder's Name Mr./Mrs. _____

IMPORTANT INSTRUCTIONS :

1. Read the KYC form and overleaf instructions properly before filling the form.
2. Fill the KYC form in CAPITAL LETTERS (**including E-MAIL ID).
3. Use Black pen to fill KYC form.
4. Photograph affixed on KYC form should be signed across.
5. Separate KYC form is required for each joint holder.
6. In case of minor KYC form of minor as well as guardian is required.
7. All supporting documents should be submitted for all the account holders and should be self attested.
8. All supporting documents should be on A4 size paper.
9. No cutting/ over-writing/fluid will be allowed on KYC form.
10. Form should be complete in all respect.

CHECKLIST

INDIVIDUALS

1. Copy of Pan Card.
2. Copy of Valid Address Proof.(Address proof is to be submitted for permanent as well as correspondence address).
3. Passport size Photograph.
4. Cancel Cheque together with latest Bank Statement/Pass Book.
5. NRI's are required to submit address proof for Indian as well as Foreign address.

HUF

1. Copy of PAN Card of HUF & Karta.
2. Copy of Valid Address Proof of Karta.
3. Passport size Photograph of Karta.
4. Declaration by HUF is desired format.
5. Cancel Cheque of HUF'S bank account together with latest Bank Statement/Passbook.

MINOR

1. Copy of PAN Card of Minor & Guardian.
2. Date of Birth certificate of Minor.
3. Copy of Address Proof of Guardian.
4. Passport size Photograph of Minor & Guardian.
5. Cancel cheque of Minor's Bank account together with latest Bank Statement/Passbook.

Documents valid for Proof of Identity and Proof of Address (submit & Tick any one)

Proof of Identity (POI) <i>List of documents admissible as Proof of Identity :</i>	Proof of Address (POA) <i>List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission)</i>
Unique Identification Number (UID) / Passport Voter ID Card / Driving License / PANCard with photograph	Passport / Voter Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance copy
Identity Card/Document with applicant's Photo, issued by any of the following : a) Central/State Government and its Departments, b) Statutory/Regulatory Authorities, c) Public Sector Undertakings, d) Scheduled Commercial Banks, e) Public Financial Institutions, f) Colleges affiliated to Universities g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., To their Members, and h) Credit cards/Debit cards issued by Banks.	Utility bills like Telephone Bill (only land line), Electricity Bill or Gas Bill (not more than 2 months old)
	Bank Account Statement / Passbook (not more than 2 months old)
	Self Declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts.
	Proof of address issued by the following : Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazatted Officer / Notary Public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
	Identity Card/Documents with address, issued by any of the following : Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
For FII/sub account, Powre of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should betaken.	
The proof of address in the name of the spouse may be accepted.	

**Know Your Client (KYC)
Application Form (For Individuals Only)**



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).
Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth

3. Nationality Indian Other (Please specify) _____

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN

 Please enclose a duly attested copy of your PAN Card
Unique Identification Number (UID)/Aadhaar, if any: _____

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)
 UID (Aadhaar) Passport Voter ID Driving Licence Others (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village _____ State _____ Country _____ Pin Code _____

2. Contact Details
Tel. (Off.) (ISD) (STD) _____ Tel. (Res.) (ISD) (STD) _____
Mobile (ISD) (STD) _____ Fax (ISD) (STD) _____
E-Mail Id. _____

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
 Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village _____ State _____ Country _____ Pin Code _____

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
 Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details (Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs
OR
Net-worth in ₹. (*Net worth should not be older than 1 year) _____ as on (date)

2. Occupation (Please tick (✓) any one and give brief details):
 Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
 Housewife Student Forex Dealer Others (Please specify) _____

3. Please tick, if applicable: Politically Exposed Person Related to a Politically Exposed Person
For definition of PEP, please refer guideline overleaf

4. Any other information: _____

DECLARATION	SIGNATURE OF APPLICANT
I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.	<div style="border: 1px solid black; width: 100%; height: 100%;"></div>
Place: _____ Date: _____	

FOR OFFICE USE ONLY	IPV Done <input type="checkbox"/> on <table border="1" style="width:100%; height:20px;"></table>	
AMC/Intermediary name OR code _____ <input type="checkbox"/> (Originals Verified) Self Certified Document copies received <input type="checkbox"/> (Attested) True copies of documents received Main Intermediary	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back), if printed separately then both the pages should be attached and signed by the applicant."

Please Tear Here

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI) : - List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account Power of Attorney given by FII/sub account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

**Know Your Client (KYC)
Application Form (For Non-Individuals Only)**



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

Grid for Name of Applicant

2. Date of Incorporation | d | d | / | m | m | / | y | y | y | y |

Place of Incorporation

3. Registration No. (e.g. CIN)

Date of commencement of business | d | d | / | m | m | / | y | y | y | y |

4. Status Please tick (✓) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust / Charities / NGOs
 FI FII HUF AOP Bank Government Body Non-Government Organisation
 Defence Establishment Body of Individuals Society LLP Others (Please specify)

5. Permanent Account Number (PAN) (MANDATORY) Please enclose a duly attested copy of your PAN Card

PHOTOGRAPH

Please affix the recent passport size photograph of Authorised Signatory and sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

Grid for Address for Correspondence with fields for City/Town/Village, State, Country, Postal Code

2. Contact Details

Grid for Contact Details with fields for Tel. (Off.), Mobile, E-Mail Id., Tel. (Res.), Fax, (ISD), (STD)

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

*Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf). (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted | d | d | / | m | m | / | y | y | y | y |

4. Registered Address (If different from above)

Grid for Registered Address with fields for City/Town/Village, State, Country, Postal Code

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

*Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf). (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted | d | d | / | m | m | / | y | y | y | y |

C. New Other Details (please see guidelines overleaf)

1. Gross Annual Income Details Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs-1 Crore > 1 Crore

2. Net-worth in ₹. (*Net worth should not be older than 1 year) as on (date) | d | d | / | m | m | / | y | y | y | y |

3. Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)

4. Is the entity involved/providing any of the following services YES NO
- For Foreign Exchange / Money Changer Services YES NO - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) YES NO
- Money Lending / Pawning YES NO

5. Any other information:

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(S)
OF AUTHORISED
PERSON(S)**

Place: _____

Date: _____

FOR OFFICE USE ONLY

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
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- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI) : - List of documents admissible as Proof of Identity:

- PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA) : - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale

Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FI/sub account Power of Attorney given by FI/sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.
- In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below :

Types of entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> PAN of HUF. Deed of declaration of HUF/ List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

Please Submit the KYC Documents on A4 Size Paper Only.

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____

PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

This Page is left blank intentionally

Declaration by HUF

Please fill in for a HUF

As our HUF firm wishes to open an account with you DP in the said name _____ we beg to say that the first signatory to this letter, i.e., _____ is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the DP from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform the DP of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

This is to certify that following are the family members under _____ (HUF)

S.No.	Name	Gender (M/F)	Relationship with Karta	Signature (in case of major)	Date of Birth (in case of minor)
1.					
2.					
3.					
4.					
5.					
6.					

For _____ (HUF)
Karta

* Please attach separate annexure, if the space provided is not sufficient.
* Please stamp and sign.

Name & Signature of Karta

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PART II - ACCOUNT OPENING FORM (FOR INDIVIDUALS)

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	I	N	3	0	0	9	6	6	Client ID										

I/We request you to open a depository account in my/our name as per following details :

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

A. TYPE OF ACCOUNT (Please tick whichever is applicable)

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> Margin	<input type="checkbox"/> Promoter	<input type="checkbox"/> HUF
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Others (Specify) _____	

B. DETAILS OF ACCOUNT HOLDER(S)

Holders	Name of Account Holder	PAN										Date of Birth			
1.															
2.															
3.															

C. For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

Name _____	PAN										
------------	-----	--	--	--	--	--	--	--	--	--	--

D. BANK DETAILS

1. Bank Account Type	<input type="checkbox"/> Saving	<input type="checkbox"/> Current	<input type="checkbox"/> Other (Pl. Specify) _____							
2. Bank Account Number										
3. Bank Name										
4. Branch Address										
	City/Town/Village	Pin Code								
	State	Country								
5. MICR Code										
6. IFSC										

E. STANDING INSTRUCTIONS

1. I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2. Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3. SMS Alert facility : [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]			
Sr. No.	Holder	Yes	No
1.	Sole / First Holder	<input type="checkbox"/>	<input type="checkbox"/>
2.	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
3.	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>

F. GUARDIAN DETAILS (where sole holder is a minor) :

[For account of a minor, two KYC/KRA Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]																	
Guardian Name																	
PAN																	
Relationship of Guardian with Minor																	

G. In Case of NRIs/Foreign Nationals

RBI Approval Reference Number											RBI Approval Date	D	D	M	M	Y	Y	Y	Y
-------------------------------	--	--	--	--	--	--	--	--	--	--	-------------------	---	---	---	---	---	---	---	---

H. NOMINATION OPTION

I/We wish to make a nomination.
(As per details given below)

I/We do not wish to make a nomination.
(Strike off the nomination details below)

NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and/or amount payable in respect of securities held in the Depository by me/us in the said beneficiary owner account shall vest in the event of my/our death.

1.	Name of the Nominee (Mr./Ms.)							Photograph of Nominee
2.	Relationship with the Applicant (if any)							
3.	Address of Nominee							
		City/Town/Village				Pin Code		
		State				Country		
4.	Contact Details of Nominee	Tel. (Off.)				Tel. (Res.)		
		Fax No.				Mobile No.		
		E-mail ID						
5.	Signature of Nominee							

To be filled-up (Sr. Nos. 6-11) only if nominee is a minor :

6.	Date of Birth (in case of minor nominee)	D	D	M	M	Y	Y	Y	Y		Photograph of guardian (for minor nominee)
7.	Name of Guardian (Mr./Ms.) (in case of minor nominee)										
8.	Address of Guardian										
		City/Town/Village				Pin Code					
		State				Country					
9.	Contact Details of Guardian	Tel. (Off.)				Tel. (Res.)					
		Fax No.				Mobile No.					
		E-mail ID									
10.	Relationship of Guardian with nominee					11. Signature of Guardian					

Signature of two Witness for nomination

Name of Witness	Address	Signature of Witness with Date
a)	_____	
b)	_____	

Signatures



Sole/First Holder Signature



Second Holder Signature






Third Holder Signature

Notes:

1. Instructions related to nomination, are as below:
 - i. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - ii. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - iii. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - iv. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - v. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - vi. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - vii. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account 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.

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(3) 		

Notes

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Strike off whichever is not applicable.

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AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE DEPOSITORY PARTICIPANT

This agreement made and entered into this _____ day of _____ between _____ situated at _____

(hereinafter called "the Client") and **GLOBE CAPITAL MARKET LIMITED** situated at 804, Ansal Bhawan, 16, K. G. Marg, Connaught Place, New Delhi-110001 (hereinafter called "the Depository Participant")

WITNESSE TO

WHEREAS the client has furnished to the Depository Participant the duly filled in application form requesting therein to open an account with the Depository Participant.

NOW THEREFORE in consideration to the Depository Participant having agreed to open an account for the client, both the parties to the agreement hereby covenant and agree as follows:

1. The Client shall pay such charges to the Depository Participant for the purpose of opening and maintaining his account, for carrying out the instructions of the Client and for rendering such other services as may be agreed to from time to time between the Depository Participant and the client as set out in Schedule A. The Depository Participant shall reserve the right to revise the charges by giving not less than 30 days notice in writing to the client.
2. The Client shall have the right to get the securities which have been admitted on the Depository dematerialised in the form and manner laid down under the Bye Laws and Business Rules. The Depository Participant further undertakes that it shall not create or permit to subsist any mortgage, charge or other encumbrance over all or any of such securities submitted for dematerialisation except on the instructions of the Client.
3. The Depository Participant hereby undertakes that it shall maintain a separate account of its own securities held in dematerialised form with the Depository and shall not commingle the same with the securities held in dematerialised form on behalf of the Client.
4. The Depository Participant undertakes that a transfer to and from the account of the Client shall be made only on the basis of an order, instruction direction or mandate duly authorised by the Client and that the Depository Participant shall maintain adequate audit trail of such authorization.
5. The Depository Participant agrees that the Client may give standing instructions with regard to the crediting of securities in his account and the Depository Participant shall act according to such instructions.
6. The Depository Participant undertakes to provide a statement of accounts including transaction statement and holdings statement to the Client at monthly intervals and to the Clients opting for Basic Services Demat Account at quarterly intervals unless the Depository Participant and the Client have agreed for provision of such statements at shorter intervals. However, if there is no transaction in the account, then the Depository Participant shall provide such statement to the Client on an annual basis.
7. The Depository Participant shall have the right to terminate this agreement, for any reasons whatsoever, provided the Depository Participant has given a notice in writing of not less than thirty days to the as well as to the Depository. Similarly, the Client shall have the right to terminate this agreement and close his account held with the Depository Participant, provided no charges are payable to him to the Depository Participant. In such an event, the Client shall specify, whether the balances in its account should be transferred to another account of the Client held with another Depository Participant or to rematerialise the security balances held. Based on the instruction of the Client, the Depository Participant shall initiate the procedure for transferring such security balances or rematerialise such security balances within a period of thirty days, as per the procedure laid down in the Bye Laws and Business Rules. Provided further, termination of this Agreement shall not affect the rights, liabilities and obligations of either party and shall continue to bind the parties to their satisfactory completion.
8. On the failure of the client to pay the charges as laid out in clause (1) of this agreement within a period of thirty days from the date of demand Depository Participant may terminate this agreement and close the account of the Client by requiring it to specify whether the balances in its account be transferred to the account of the Client held with another Participant or be rematerialised in the manner specified in the Bye Laws and Business Rules.
9. The Client further agrees that in the event of the Client committing a default in the payment of any of the amounts provided in clause (1) within a period of thirty days from the date of demand, without prejudice to the right of the Depository Participant to close the account of the client, the Depository Participant may charge interest@not more than 24% p.a. or such other rate as may be specified by the Executive Committee from time to time for the period of such default. In case the Client has failed to make the payment of any of the amounts as provided in clause (1) of this agreement, the Depository Participant shall have the right to stop processing of instructions of the client till such time he makes the payment along with interest, if any, after giving two days notice to the client.
10. The Depository Participant shall have a right to provide such information related to the client's accounts as may be requested by the NSDL from time to time.
11. The Client shall have the right to create a pledge of the securities held to the dematerialised form with the Depository Participant only in accordance with the procedure and subject to the restrictions laid down under the bye laws and business rules.
12. The Depository shall not be liable to the client in any manner towards losses, liabilities and expenses arising from the claims of third parties and from taxes and other governmental charges in respect of securities credited to the clients account.
13. The Client may exercise the right to freeze his account maintained with the Depository Participant so as to lock the securities held with the Depository Participant in accordance with the procedure prescribed in the bye laws and business rules.
14. The Client may exercise the right to defreeze his account maintained with the Depository Participant in accordance with the procedure and subject to the restrictions laid down under the bye laws and business rules.
15. The Client shall notify the Depository Participant, within seven days, of any change in the details set out in the application from submitted to the Depository Participant at the time of opening the account of furnished to the Depository Participant from time to time.
16. The Depository Participant undertakes to resolve all legitimate grievances of the Client against the Depository Participant with a period 30 days.
17. The Depository Participant and the Client shall abide by the arbitration and conciliation procedure prescribed under the Bye laws of NSDL and that such procedure shall be application to any disputes between the Depository Participant and the Client.
18. The Depository Participant and the Client further agree that all claims, differences and disputes, arising out of or in relation to dealings on the Depository including any transactions made subject to the bye Laws or Business rules of the Depository or with reference to anything incidental thereto or in plurisance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties there to and including any question of whether such dealings, transactions have been entered into or not shall not be subject to the exclusive jurisdiction of the courts at Mumbai only.

IN WITNESS WHEREOF the Client and Depository Participant has caused these presents to be executed as of the day and year first above written.

Signed and delivered by Client

	NAME/S OF SIGNATORY (IES)	SIGNATURE (S)
Sole / First Holder		(4)
Second Holder		
Third Holder		

For & on behalf of
GLOBE CAPITAL MARKET LIMITED

New Delhi

Witness: (For & on behalf of the
Globe Capital Market Limited

Signature: _____

Name: _____

Address : 804, Ansal Bhawan, 16 K.G. Marg,
New Delhi-110001

Witness : (For & on behalf of the client)

Signature: _____

Name: _____

Address: _____

GLOBE CAPITAL MARKET LIMITED DEPOSITORY DIVISION

A/c No. Details :-

S.No.	Name (s)	Depository Account No. (s)

ELECTRONIC CLEARING SERVICE (DEBIT CLEARING MANDATE FORM)

1. Name(s) :
2. Bank Name :
- A) Branch Name :
- B) 9-Digit MICR Code* :
- C) Account Type S.C. A/c (Code 10) Current A/c (Code 11) Cash Credit (Code 13)
- D) Ledger No./Folio No. _____ Account No. _____

***Applicant on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a Bank Cancelled Cheque issued by your Bank for verifying the accuracy of the Code Number)**
I, hereby declare that the particulars given above are correct and complete. If the transactions is delayed or not effected at all for reasons of incomplete or incorrect information, I would not hold the user institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date : _____  Signature of the Applicant



GLOBE CAPITAL MARKET LIMITED DEPOSITORY DIVISION

A/c No. Details :-

S.No.	Name (s)	Depository Account No. (s)

ELECTRONIC CLEARING SERVICE (DEBIT CLEARING MANDATE FORM)

1. Name(s) :
2. Bank Name :
- A) Branch Name :
- B) 9-Digit MICR Code* :
- C) Account Type S.C. A/c (Code 10) Current A/c (Code 11) Cash Credit (Code 13)
- D) Ledger No./Folio No. _____ Account No. _____

***Applicant on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a Bank Cancelled Cheque issued by your Bank for verifying the accuracy of the Code Number)**
I, hereby declare that the particulars given above are correct and complete. If the transactions is delayed or not effected at all for reasons of incomplete or incorrect information, I would not hold the user institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date : _____  Signature of the Applicant

BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed).

Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : _____
The Branch Manager

.....
Dear Sir,

I/We _____ residing at _____ maintain
a _____ Account No. _____ with your branch.

I/We hereby authorise the Bank to debit all types of commission /fees (Service Charges) payable by me / us and charged by **GLOBE CAPITAL MARKET LTD.** Through the ECS (Debit clearing) facility to my bank account with you. I/We undertake the sufficient balances shall be maintained by me/us, so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

SIGNED AT _____ (place), this _____
(day) of _____ (month) _____ Year _____

Signature  (7)

Signature 

Signature 

BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed).

Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : _____
The Branch Manager


.....
Dear Sir,


I/We _____ residing at _____ maintain
a _____ Account No. _____ with your branch.

I/We hereby authorise the Bank to debit all types of commission /fees (Service Charges) payable by me / us and charged by **GLOBE CAPITAL MARKET LTD.** Through the ECS (Debit clearing) facility to my bank account with you. I/We undertake the sufficient balances shall be maintained by me/us, so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

SIGNED AT _____ (place), this _____
(day) of _____ (month) _____ Year _____

Signature  (9)

Signature 

Signature 

GLOBE CAPITAL MARKET LIMITED

804, Ansal Bhawan, 16, K.G. Marg, Connaught Place, New Delhi-II0001

Phones : 43666400 (30 Lines) • Fax : 91-II-23720880, 23712630

NSDL BENEFICIARY ACCOUNT

S. NO.	Nature of Service	Charges
1	Account Opening	Nil
2	Annual Maintenance	₹ 300/- per annum
3	Advance Payment	₹ 200/- (adjustable against billing)
4	Stamp Paper	₹ 50/-
5	Transaction	
	Debit	₹ 15/- per Instruction*
	Credit	NIL
6	Pledge	
	Creation	₹ 50/- per Instruction
	Closure	₹ 50/- per Instruction
	Invocation	₹ 50/- per Instruction
7	Dematerialisation	₹ 2/- per certificate plus courier charges **
8	Rematerialisation	₹ 15/- per request plus ₹ 30/- courier charges ***
9	Instruction Booket	₹ 1/- per leaf

* For instruction above value of ₹3 Lac. additional charges @0.005% of the value over and above ₹3 Lac. will be charged subject to a maximum of ₹ 100/- per instruction.




**Courier charges ₹20 for every 25 certificates and part thereof.

*** A fee of ₹ 15 for every hundred securities or part thereof or a flat fee ₹ 15 per certificate which ever is higher.

Notes :

1. The Depository Participant shall reserve the right to revise the charges by giving not less than 30 days notice in writing to the client.
2. Value of Transaction will be in accordance with the Depository formulae.
3. Modification in client detail, ₹25/- per instance.
4. Any service not listed above will be charged extra.
5. Rejection charges on failure of delivery instruction, ₹15/- per instruction.
6. Off-Market Instruction not received prior to 24 hours of execution will be received at client's risk. However no extra charges will be levied.
7. Instructions for pay-in of Securities to transfer securities from client account to CM pool account. Intersettlement Instruction, CM Pool to CM Pool transfer and delivery instruction, will be accepted upto 4 p.m. on the working day prior to pay-in date.
8. Non periodic statement shall be charged @ ₹5/- per page and postage/courier charge @ ₹30/- per mail.
9. In case of non payment of bill/dues within 30 days of due date, interest shall be charged @ 2.0% per month on the outstanding dues.
(The above is subject to taxes and duties as applicable as per Government Rule)

HOLDER'S SIGNATURES :

Signature 1. ⁽¹⁰⁾  _____ 2.  _____ 3.  _____
Sole/First Holder Signature Second Holder Signature Third Holder Signature

FOR GLOBE CAPITAL MARKET LTD.

⊗
(Authorised Signatory)

