

TRADING ACCOUNT RELATED DETAILS

FOR INDIVIDUALS & NON-INDIVIDUALS

A. BANK ACCOUNT(S) DETAILS					
Bank Name	Branch address	Bank Account Number(s)	Account Type:	MICR Number	IFSC code

❖ Mention - Saving/Current/ Others-In case of NRI/NRE/NRO for Account Type
❖ For Multiple Bank Account Details use Separate Sheets

B. DEPOSITORY ACCOUNT(S) DETAILS				
Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

❖ For Multiple Demat Account Details use Separate Sheets

C. TRADING PREFERENCES				
EXCHANGE	SEGMENTS			
NSE	Cash		Currency Derv	
	Equity Derv		MFSS	
BSE	Cash		BSE Star MF	
	Equity Derv			

❖ Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client
❖ If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

D. PAST ACTIONS	
Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years	

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS		
IF CLIENT IS DEALING THROUGH THE SUB-BROKER, PROVIDE THE FOLLOWING DETAILS:		
Sub-Broker's Name:	SEBI Registration Number:	
Registered Office Address:		
Phone:	Fax:	Website:
WHETHER DEALING WITH ANY OTHER STOCK BROKER/SUB-BROKER (IN CASE DEALING WITH MULTIPLE STOCK BROKERS/SUB-BROKERS, PROVIDE DETAILS OF ALL)		
Name Of Stock Broker:	Name Of Sub-Broker, If Any:	
Client Code:	Exchange:	
Details of disputes/dues pending from/to such stock broker/sub- broker		

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Sign _____

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E. ADDITIONAL DETAILS	
Whether you wish to receive Physical Contract Note(PCN)or Electronic Contract Note (ECN) (please specify)	
Specify your Email id, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):	
Number of years of Investment/Trading Experience:	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others	
Any other information	

G. INTRODUCER DETAILS (optional)			
Name of the Introducer:			
	(Surname)	(Name)	(Middle Name)
Status of the Introducer:	Sub-broker / Remisier / Authorized Person / Existing Client / Others, please specify.....		PAN of Introducer
Address and phone no. of the Introducer:			
Signature of the Introducer:		Date:	Client Code:

H. NOMINATION DETAILS (for individuals only)			
I/WE WISH TO NOMINATE / I/WE DO NOT WISH TO NOMINATE		Signature:	
Name of the Nominee:			
	(Surname)	(Name)	(Middle Name)
Relationship with the Nominee:		Date of Birth of Nominee:	PAN of Nominee
Address and phone no. of the Nominee:			
IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN:			
Name of Guardian:			
	(Surname)	(Name)	(Middle Name)
Address and phone no. of Guardian			
Signature of Guardian		Date:	
WITNESSES (Only applicable in case the account holder has made nomination)			
Name		Name	
Address		Address	
Signature		Signature	
	Date		Date

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Sign _____

TRADING ACCOUNT RELATED DETAILS

FOR INDIVIDUALS & NON-INDIVIDUALS

OTHER DETAILS (INDIVIDUAL)

1. Gross Annual Income Details (please specify):

Income Range per annum: Below Rs 1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / >25 Lacs or

Net-worth as on _____ (_____) (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details): Private Sector/ Public Sector/ Government

Service/Business/ Professional/ Agriculturist/ Retired/ Housewife/ Student/ Others _____

3. Please tick, if applicable: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)

4. Any other information: _____

OTHER DETAILS (NON-INDIVIDUAL)

1. Gross Annual Income Details (please specify):

Income Range per annum: Below Rs 1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / 25 Lacs-1 crore/ > 1 crore

2. Net-worth as on (date) _____ (dd/mm/yyyy): _____ (*Net worth should not be older than 1 year)

3. Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)

4. 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.
- 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.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Signature of Client / (All) Authorized Signatory (ies)	Signature of Client / (All) Authorized Signatory (ies)
Place:	Place:
Date:	Date:

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Sign _____

TRADING ACCOUNT RELATED DETAILS

FOR INDIVIDUALS & NON-INDIVIDUALS

FOR OFFICE USE ONLY

UCC CODE ALLOTTED TO THE CLIENT:			
	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

We undertake that we have made the client aware of 'Policy and Procedures', Tariff Sheet and all the Non-Mandatory Documents. We have also made the client aware of 'Rights and Obligations' Document (s), RDD and Guidance Note. We have given/sent the client a copy of all the KYC documents. 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. We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our website, if any, for the information of the clients.

Name of Authorized Signatory		Signature of the Authorized Signatory	Seal/Stamp of Stewart & Mackertich Wealth Management Limited
Date			
Place			

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals: (A) Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office. (B) In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- For non-individuals: (A) Form need to be initialized by all the authorized signatories. (B) Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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Sign _____