

# Invest **today** for a better **tomorrow.**



Globe Capital Market Limited - NSDL

Application No.

Client Name

Client Code

Branch Name

Branch Code

Introducer RM Name

Emp. Code

Service RM Name

Emp. Code

Client/BO ID

DP Group Code

DP Scheme Code

Trading Scheme Code

SK ENQ No.

Only Trading  Only DP  Combined  ODR

Remark



**EXCHANGE-WISE INVESTOR GRIEVANCE CELL**

Exchange	Web Address	Contact No.	Email - Id
NSE	www.nseindia.com	022-26598100	ignse@nse.co.in
BSE	www.bseindia.com	022-22721233	is@bseindia.com / iscdelhi@bseindia.com
MSEI	www.msei.in	022-61129028	investorcomplaints@msei.in
MCX	www.mcxindia.com	022-67318888	grievance@mcxindia.com
NCDEX	www.ncdex.com	022-66406789	ig@ncdex.com
ICEX	www.icexindia.com	022-40381546	grievance@icexindia.com
Depository	Web Address	Contact No.	Email - Id
CDSL	www.cdslindia.com	022-22723333	complaints@cdslindia.com
NSDL	www.nsdl.co.in	022-24994200	relations@nsdl.co.in

**Note :- Kindly note that, in addition to client trading, Globe Capital Market Ltd. also does proprietary (own) trading.**

**Equity SEBI Registration No INZ000177137.** Exchange Registration Nos NSE : TM No-06637, Clearing No-M50302, BSE : Clearing No-3179, MSEI : TM Code-1004, MCX TM No. : 8091, Clearing No. : 8090, NCDEX TM No. : 1287, Clearing No. : M51085, ICEX TM No. : 2084, Depository Participant : IN-DP-614-2021

**ACKNOWLEDGEMENT TO GLOBE FROM CLIENT**

To,

**GLOBE CAPITAL MARKET LTD.**

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

Date : \_\_\_\_\_

I/we hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-

- Account Opening Form
- Trading Account Related Details & Tariff Sheet (Trading & Demat Account)
- Rights and Obligations of Stock Brokers, Authorised Person and Clients
- Rights and Obligations of Beneficiary owner and Depository Participant as prescribed by SEBI and Depository
- Internet and Wireless technology based trading facility provided by Stock Brokers to Client
- Risk and Disclosure document for capital market and derivative segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- Policies and procedures
- Terms & Conditions as Mutually agreed by me & FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me specifically in voluntary segment.
- Copy of DDPI (Demat Debit and Pledge Instruction)

I/we am/are abiding by these terms & conditions. I/we reconfirm that I/we and stock broker shall refer any claim and/or disputes with respect to deposits, margin money, etc, to arbitration as per the Rules, Byelaws, and Regulation of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time. I/We reconfirm that I/we and Stock Broker shall refer all claims, differences or disputes between us arising out of or in relation to dealings, contracts and transaction made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into to arbitration in accordance with the provisions of these Byelaws and Regulations.

Thanks and Best regards,

Client Code : \_\_\_\_\_

For \_\_\_\_\_

Sign here : (I) 

For **Globe Capital Market Ltd.**

Authorised Signatory / Director



**A. Identity Details** Please fill in ENGLISH and BLOCK LETTERS with black ink

	Prefix	First Name	Middle Name	Last Name
1. Name of Applicant				
Name as per Income Tax Record				
Maiden Name (if any)				
Father / Spouse Name				
Mother Name				

2. A. Gender  Male  Female  Transgender B. Marital status  Single  Married  Others \_\_\_\_\_

3. PAN \_\_\_\_\_ Nationality / Citizenship  Indian  Other (Please specify) \_\_\_\_\_

4. Residential Status  Resident Individual  Non Resident Indian  Foreign National  Person of Indian Origin

Occupation (Please tick (3) any one and give brief details):

Private Sector Service  Public Sector  Government Service  Business  Professional  Agriculturist

Retired  Housewife  Student  Others (Please specify) \_\_\_\_\_

5. UID/Aadhaar :         Date of Birth d | d | m | m | y | y | y | y

6. Proof of Identity submitted for PAN exempt cases (see guideline 'D' in check list.)

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it

**B. Address Details**

1. Address for Correspondence

State \_\_\_\_\_ City/Town/Village \_\_\_\_\_ Country \_\_\_\_\_ Pin Code \_\_\_\_\_

2. Contact Details

Mobile (Primary) (ISD) (STD) \_\_\_\_\_ Mobile (Secondary) (ISD) (STD) \_\_\_\_\_

Tel. (ISD) (STD) \_\_\_\_\_ Fax (ISD) (STD) \_\_\_\_\_

MOBILE (Primary) given by me belongs to  Me  Spouse  Dependent children  Dependent Parent

Mobile No. is registered in name of \_\_\_\_\_ who's PAN No. is \_\_\_\_\_

E-Mail ID. (In Capital Letters only) \_\_\_\_\_

E-MAIL ID given by me belongs to  Me  Spouse  Dependent children  Dependent Parent

E-mail-ID is registered in name of \_\_\_\_\_ who's PAN No. is \_\_\_\_\_

3. Specify the Proof of Address submitted for Residence / Correspondence Address  UID  Bank Statement  Other \_\_\_\_\_

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

State \_\_\_\_\_ City/Town/Village \_\_\_\_\_ Country \_\_\_\_\_ Pin Code \_\_\_\_\_

5. Specify the Proof of Address submitted for Residence / Permanent Address \_\_\_\_\_

**C. Fatca & CRS Detail** Nationality/Tax Residency/Citizen ship Other than Indi  No  Yes

Country of Birth \_\_\_\_\_ Place/City of Birth \_\_\_\_\_

Country of Citizenship/Nationality \_\_\_\_\_

Country of Tax Residency (Other Than India) \_\_\_\_\_

Tax Payer Identification Number (Other Than India) \_\_\_\_\_

2. Gross Annual Income Details : Income Range per annum :  Below Rs. 1 Lac  Rs. 1 Lac to 5 Lac

(please tick ✓)  Rs. 5 Lac to 10 Lac  Rs. 10 Lac to 25 Lac  >25 Lac

**Declaration :** I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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 am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as an audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.

**SIGNATURE OF APPLICANT**

(2)

Place: \_\_\_\_\_

Date: \_\_\_\_\_

**IPV TO BE FILLED BY - EMPLOYEE/AP/OTHERS**

Intermediary name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received Main Intermediary

IN-PERSON VERIFICATION (IPV)  DOCUMENTS VERIFIED WITH ORIGINALS  CLIENT INTERVIEWED BY

Date : | d | d | / | m | m | / | y | y | y | y | Institution Name & Code : **Globe Capital Market Limited**

Name : \_\_\_\_\_ Code : \_\_\_\_\_

Designation : \_\_\_\_\_ Signature : \_\_\_\_\_

\*See Instructions cum check list at the last page

**PART II - ACCOUNT OPENING FORM (FOR INDIVIDUALS)**

DP ID : IN300966

DP ID	I	N	3	0	0	9	6	6	Client ID								
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I/We request you to open a depository account in my/our name as per following details :

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

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

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

<input type="checkbox"/> Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> FPI
<input type="checkbox"/> Foreign National	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Stock Broker
<input type="checkbox"/> Others (Specify) _____		
Sub Type	<input type="checkbox"/> TM Client Securities Margin Pledge Account	<input type="checkbox"/> Stock Broker-Proprietary
	<input type="checkbox"/> CM Client Securities Margin Pledge Account	<input type="checkbox"/> Promoter
	<input type="checkbox"/> TM/CM Client Securities Margin Pledge Account	<input type="checkbox"/> Others

**B. DETAILS OF ACCOUNT HOLDER(S)**

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Birth	-	-	-
UCC			
Exchange Name & ID		-	-
Brief Details		-	-

C. 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. STANDING INSTRUCTIONS**

1.	I/We authorise you to receive credits automatically into my/our account (If not marked default option would be Yes)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Client option to receive e-statement	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	Receive Annual Reports, AGM notices and other communication from Issuer & RTA in Electronic form (If not marked default option would be No)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.	For joint accounts communication to be sent to	<input type="checkbox"/> First Holder	<input type="checkbox"/> All Joint Account Holders
5.	Account to be operated through (DDPI) (If not marked default option would be No)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.	SMS Alert facility : [Mandatory if you are giving (DDPI).Ensure that the mobile number is provided in the KYC Application Form]		
	Sr. No.	Holder	
	1.	Sole / First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	2.	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	3.	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No

**E. 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											Date of Birth					
Relationship of Guardian with Minor																

**F. In Case of NRIs/Foreign Nationals**

RBI Approval Reference Number		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
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**G. Mode of Operation for Joint Accounts (\*see notes)**

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the holder or survivor(s)
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If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operation such as transfer of securities including Inter-Depository Transfer pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and/or securities and/or specific number of securities will be permitted.

**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".

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(3)	(1)	(1)

## NOMINATION OPTION (For DP & Trading both)

**NOMINATION DETAILS (Annexure A) I/We nominate** the following persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.




Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	*Percentage of allocation of securities Equally [If not equally, please specify percentage] Or <input type="checkbox"/> Share of each Nominee	%	%	%
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)			
	PIN Code			
5	Mobile/Telephone No. (Optional)			
6	Email ID (Optional)			
7	Nominee Identification details : [Please tick any one of following and provide details of same]  Photograph & Signature	Photograph of 1st nominee  	Photograph of 2nd nominee  	Photograph of 3rd nominee  
	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 (Optional)			
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>				
8	Date of Birth {in case of minor nominee(s)}	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
9	Name of Guardian (Mr./Mrs.) {in case of minor nominee(s)}			
10	Address of Guardian			
	PIN Code			
11	Age			
12	Mobile/Telephone (Optional)			
13	Email ID (Optional)			
14	Relationship of Guardian with Nominee			
15	Guardian Identification details : [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature	Photograph of 1st Guardian  	Photograph of 2nd Guardian  	Photograph of 3rd Guardian  
	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 (Optional)			
Signature of Witness for Nomination (In Case of Thump Impression)				
Name of the Witness		Address		Signature of Witness
				Date D D M M Y Y Y Y
	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)	
Name				
Signatures	(4)	(2)	(2)	

## 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. For receiving Statement of Account in electronic form:
  - I. Client must ensure the confidentiality of the password of the email account.
  - II. Client must promptly inform the Participant if the email address has changed.
  - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder (s) with required documents within one year of the date of demise.
5. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to first holder', if no option selected.
6. 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 and 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.
7. 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.
8. The Nominee(s) 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 / depository controls in force, from time to time.
9. 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.
10. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
11. 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 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.
12. 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(S).
13. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be a settle the claims equally amongst all the nominee.
14. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
15. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents.
16. Savings bank account details shall only be considered if the account is maintained with the same participant.
17. DP ID and client ID shall be provided where demat details is required to be provided.
18. Strike off whichever is not applicable

### Declaration Form for opting out of nomination (Annexure B)

UCC/DP ID	
Client ID (only for Demat account)	
Sole/First Holder Name	
Second Holder Name	
Third Holder Name	
<input type="checkbox"/> 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 nonappointment 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.	

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(5) 	(3) 	(3) 







**PART II - ACCOUNT OPENING FORM (FOR NON-INDIVIDUALS)**

DP ID : IN300966

DP ID	I	N	3	0	0	9	6	6	Client ID								
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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)

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

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

<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> Mutual Fund	
<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> CUSA	<input type="checkbox"/> Stock Broker	<input type="checkbox"/> Others (Specify)
Sub Type	<input type="checkbox"/> TM Client Securities Margin Pledge Account	<input type="checkbox"/> Stock Broker-Proprietary	<input type="checkbox"/> LLP		
	<input type="checkbox"/> CM Client Securities Margin Pledge Account	<input type="checkbox"/> Foreign Bodies	<input type="checkbox"/> Escrow		
	<input type="checkbox"/> TM/CM Client Securities Margin Pledge Account	<input type="checkbox"/> Unclaimed Securities			

**B. DETAILS OF ACCOUNT HOLDER(S)**

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Incorporation			
UID/Aadhaar			
UCC		—	—
Exchange Name & ID		—	—
Brief Details			

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. In Case of FIIs/Others (as may be applicable)**

RBI Approval Reference Number		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration Number (For FIIs)										

**E. STANDING INSTRUCTIONS**

1.	We authorise you to receive credits automatically into our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Client option to receive e-statement	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	Receive Annual Reports, AGM notices and other communication from Issuer & RTA in Electronic form	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.	Account to be operated through DDPI ) (If not marked default option would be No)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.	SMS Alert facility :		
	Sr. No.	Holder	
	1.	Sole / First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	2.	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	3.	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No

Mode of Operation for Sole/First Holder (in case of joint holdings, all the holders must sign)

<input type="checkbox"/> As per resolution	<input type="checkbox"/> Any one singly	<input type="checkbox"/> Jointly by	<input type="checkbox"/> Others (Pl. Specify)
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**DECLARATION**

I/we acknowledge the receipt of copy of document, "Rights and Obligations of the Beneficial Owner and Depository Participant". 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.

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories)

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name, Designation & Signatures	(8)	(4)	(4)

(Signatures should be preferably in black ink)

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

**TRADING & DEMAT ACCOUNT RELATED DEATILS**  
For both Individuals & Non-individuals

**A. BANK ACCOUNT(S) DETAILS**

**I. BANK ACCOUNT DETAIL**

Sr No.	Bank Name & Address	Bank Account No.	Account Type	MICR No.	IFSC Code
PRI SEC			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO		
PRI SEC			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

**B. DEPOSITORY ACCOUNT(S) DETAILS**

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
GLOBE CAPITAL MKT. LTD.	NSDL		IN 300966	










I authorize you to transfer the shares purchased by me to the above mentioned demat beneficiary account.

Affiliated by	Accounting Software Name	Beneficiary Name	CP ID	Beneficiary ID (BO ID)
NCDEX	NERL			
MCX	CCRL/COMRIS			
ICEX	CCRL/EDCM/NERL			

Note : Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the client.

**C. TRADING PREFERENCE**

Please sign in the relevant boxes where you wish to trade. Pleas strike off the segment not chosen by you.

<b>Exchanges</b>	All Segments	
<b>NSE, BSE, MSEI</b>	Cash/ Mutual Fund	
	F&O	
	Currency	
	Debt	
<b>MCX Commodity Derivative</b>	Date of Consent for trading on concerned Exchange	
<b>NCDEX Commodity Derivative</b>	Date of Consent for trading on concerned Exchange	
<b>BSE Commodity Derivative</b>	Date of Consent for trading on concerned Exchange	
<b>NSE Commodity Derivative</b>	Date of Consent for trading on concerned Exchange	
<b>ICEX Commodity Derivative</b>	Date of Consent for trading on concerned Exchange	

If you do not wish to trade in any of segments /Mutual fund, please mention here

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**Important Risk Disclosures from SEBI**

Please read the following pointers before participating in the derivatives segments of the markets

**Risk Disclosures on Derivatives**

- 01. 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses
- 02. On an average, loss makers registered net trading loss close to ₹50,000
- 03. Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs
- 04. Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

- 1. I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options.
- 2. I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
- 3. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.

# 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. ADDITIONAL DETAILS**

- 1. I/We hereby request you to provide the Contract Notes, Daily Margin Statements, Monthly/Weekly Statements, Settlement Extracts, AGTS, etc. at my/our registered email id. My/our Email Id has been created by me/us and not by someone else. I/We am/are aware that non-receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my/our e-mail ID.  Yes  No
- Whether you wish to receive your executed KYC  Electronically  Physically
- Whether you wish to avail of the facility of internet trading/ wireless technology :  Yes  No (if yes, then please specify)
- Application Base Trading  Web Base Trading  Securities Trading using Wireless Technology  NOW
- Number of Years of Investment / Trading Experience : \_\_\_\_\_
- Any other information : \_\_\_\_\_

**E. OTHER DETAILS**

- **Net Worth** (Net worth should not be older than 1 year) **Amount Rs.**.....
- as on (date)**
- **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)
- Money Lending / Pawning  Yes  No

■ **GST Registration Details**

S.No.	State	State Code	GST Registration No.	Validity Date
I.				

- **Political Exposed Person (PEP) Please tick, if applicable** (Note : In case of Non-individuals please tick, if applicable for any of your authorised signatories/Promoters/Partners/Karta/Trustees/whole time directors) :

Not a Politically Exposed Person  Not Related to a Politically Exposed Person  Politically Exposed Person  Related to a Politically Exposed Person

- **Any other information** : .....

**F. PAST ACTIONS**

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its authorized persons in charge of dealing in securities & commodities during the last 3 years :

## G. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

### G1. DEALINGS THROUGH AUTHORISED PERSON

■ If client is dealing through the authorised person, provide the following details:

Authorised Person's Name: \_\_\_\_\_ SEBI Registration number: \_\_\_\_\_

Registered office address & Contact Details : \_\_\_\_\_

### G2. DEALINGS THROUGH OTHER STOCK BROKERS / AUTHORISED PERSON

■ whether dealing with any other stock broker / authorised person (if case dealing with multiple stock broker / authorised person, provide details of all)

Name of Stock Broker: \_\_\_\_\_ Name of Authorised Person, if any : \_\_\_\_\_

Client Code: \_\_\_\_\_ Exchange : \_\_\_\_\_

■ Details of disputes/dues pending from/to such stock broker / authorised person : \_\_\_\_\_

### TARIFF SHEET

#### TARIFF SHEET - BROKERAGE STRUCTURE - EQUITY & COMMODITY

	% of Turnover	Minimum	Brokerage Slab	% of Turnover	Minimum
<b>Equity Delivery</b>		_____ Per Share	<b>Equity Normal</b>		_____ Per Share
<b>Equity Options</b>		Rs _____ Per Lot	<b>Equity Futures</b>		_____ Per Share
<b>Currency Options</b>		Rs _____ Per Lot	<b>Currency Futures</b>		_____ Per Share
<b>Commodity Options</b>		Rs. _____ Per Lot	<b>Commodity Futures</b>		_____ Per Share
<b>Commodity Delivery</b>		.25			

Sign here in case of cutting / overwriting

**Important Note:** In case of Physical Contract notes or other related documents being dispatched to client, a difference of Rs.25/- + GST in total brokerage booked on a particular contract would be charged to ward minimum processing fee. Delay payment charges @2% per month would be charged for debit/shortage in payin/ margin default, as per exchange requirements. Depository/Pledge charges for the movement of shares between pool/beneficiary/margin account for payin/payout or margin purpose will be charged. Transaction charges/ Clearing Charges/other statutory charges/ courier/ administration/ processing charges will be charged as applicable. Handling charges for issue of account statement, copy of contract note etc. will be charged as applicable. One time processing fee Rs.50/- per segment and DDPI charges Rs. 100/- shall be charged.

### 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, tariff sheet and all voluntary/non-mandatory documents.
- I/We further confirm having read and understood the contents of the Rights and Obligations', Policies & Procedures document(s) and 'Risk Disclosure Document', 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we have read, understood, agreed and received a duly executed copy of the:-
  - Account Opening Form, Trading Account Related Details and Tariff Sheet
  - Other disclosure/documents as agreed by me/us specifically in voluntary segment.
  - Terms & Conditions as mutually agreed by me/us
  - FATCA & CRS Terms & Conditions
  - Option Consent Letter
  - Other disclosure/documents as agreed by me/us specifically in voluntary segment.
 I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website.

Place: \_\_\_\_\_

Date: 

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

(09) \_\_\_\_\_  
 Signatures Sole/First Holder Signature

(5) \_\_\_\_\_  
 Second Holder Signature

(5) \_\_\_\_\_  
 Third Holder Signature

Sole / First Holder's Name : \_\_\_\_\_ Second Holder's Name \_\_\_\_\_ Third Holder's Name \_\_\_\_\_

**SCHEDULE OF CHARGES FOR DEMAT ACCOUNT INDIVIDUAL / CORPORATE - NSDL**

NATURE OF SERVICES	CHARGES (Please tick whichever applicable)		
	<input type="checkbox"/> Regular Scheme	<input type="checkbox"/> Globe Relax	<input type="checkbox"/> Life Time
<b>Account Maintenance Cycle</b>	Four Quarter (1 Year)	Twenty Quarter (5 Year)	Life Time
<b>Maintenance Charges (Non-Corporate Account)</b>	₹399/- for first Quarter remaining three Quarters <b>FREE</b>	₹999/- for first Quarter remaining nineteen Quarters <b>FREE</b>	₹1999/-
<b>Maintenance Charges (Corporate Account)</b>	₹1250/- for first Quarter remaining Quarters <b>FREE</b>	Not Applicable	Not Applicable
<b>TRANSACTION CHARGES</b>			
<b>Delivery</b>	<b>Market Transaction</b>	₹20/- per instruction or 0.02% of transaction value, whichever is higher, subject to maximum of ₹100/-	
	<b>Off Market Transaction</b>	₹25/- per instruction or 0.03% of transaction value, whichever is higher, subject to maximum of ₹1000/-	
<b>Pledge Creation/Closure/Invocation</b>	₹50/- per instruction or 0.02% of transaction value, whichever is higher		
<b>Demat Charges</b>	₹50/- for up to first hundred and after first hundred ₹10/- for every hundred securities or part thereof or a flat fee ₹10/- per certificate whichever is higher plus courier charges of ₹40 for every 25 certificate and part thereof		
<b>Remat Charges</b>	₹100/- for up to first hundred and after first hundred ₹30/- for every hundred securities or part thereof or a flat fee ₹30/- per certificate whichever is higher		
<b>Mutual Funds (Destat / Redemption)</b>	₹50/- per instruction plus courier charges		
<b>Instruction Booklet</b>	₹2/- per leaf plus courier charges		

**Note:**

- The Depository Participant shall reserve the right to revise the charges by giving not less than 30 days notice in writing to the client.
- Value of Transaction will be in accordance with the Depository formulae.
- Modification in client detail, 40/- per instance. Maintenance charges will be charged in advance at the time of opening the account.
- Rejection charges 50/- per rejection plus courier charges.
- Slip Rejection/Fail charges 20/- per rejection.
- Off-Market Instruction not received prior to 24 hours of execution will be received at client's risk.
- Instruction for Pay-In of securities to transfer from client account to CM Pool account, Inter settlement instruction, CM Pool to CM Pool transfer and delivery instruction will be accepted up till 4:00 PM on working day prior to Pay-in date.
- Periodic statement free on Email and Rs 40 towards courier charges if sent physically.
- Non-periodic statement shall be charged @ 5/- per page and postage/courier charge @ Rs 40 or actual charges whichever is higher.
- 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.
- Rs 100 will be charged to client in case of New Delivery Instruction Booklet is requested without requisition slip.
- All charges are exclusive of GST. Taxes and other Government levies will be charges extra as applicable from time to time.

**“AS per SEBI Circular No. CIR/MRD/DP/22/2012 dated 27th August 2012, all clients who are willing to hold only one demat account as first holder and DP holding valuation will be maintained below Rs. 2 Lac. Is eligible to opt for BSDA (Basic Service Demat Account) subject to term and conditions mentioned by SEBI.” To opt BSDA scheme please sign a separate scheme sheet which can be obtained from our office.”**

- I/We do not wish to avail BSDA facility in my/our Demat Account       I/We wish to avail BSDA facility in my/our Demat Account.

**HOLDER'S SIGNATURES :**

(10)   
 Sole/First Holder Signature

(6)   
 Second Holder Signature

(6)   
 Third Holder Signature

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED  
BY STOCK BROKERS TO CLIENT**

**(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable.  
Additionally, the clauses mentioned herein shall also be applicable.)**

1. Stock broker is eligible for providing Internet based trading (IBT) and securities/commodities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities/commodities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities/commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

Sign here : (11) 





**FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)**

Please tick the applicable tax resident declaration -

I. Is "Entity" a tax resident of any country other than India  Yes  No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number%	Identification Type (TIN or Other , please specify) %
1.			
2.			
3.			

%In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

**PART A (to be filled by Financial Institutions or Direct Reporting NFEs)**

1. We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	<b>GIIN</b> <input style="width: 100%;" type="text"/> <b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____
<b>GIIN not available</b> (please tick as applicable)	<input type="checkbox"/> <b>Applied for</b> <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input style="width: 30px;" type="text"/> (Refer 1 A of Part C)

**PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")**

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one Stock Exchange on which the stock is regularly traded) Name of Stock Exchange _____
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one Stock Exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of Stock Exchange _____
3. Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input style="width: 30px;" type="text"/> (Mention code – refer 2c of Part C)
4. Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business _____

**UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)**

**Category** (Please tick applicable category):  Unlisted Company  Partnership Firm  Limited Liability Partnership Company  
 Unincorporated association / body of individuals  Public Charitable Trust  Religious Trust  Private Trust  
 Others (please specify \_\_\_\_\_)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address			
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID <sup>¶</sup>			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) <sup>§</sup>			

\* To include US, where controlling person is a US citizen or green card holder

<sup>¶</sup> If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

<sup>¶¶</sup> In case Tax Identification Number is not available, kindly provide functional equivalent

<sup>§</sup> Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

**DECLARATION** : I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Globe Capital Market Ltd for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name, Designation & Signature	(14)	(8)	(8)
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\*For detail terms & conditions in client copy

## VERBAL ORDER ACCEPTANCE AUTHORISATIONS, FIT AND PROPER PERSON DECLARATION, GENERAL AUTHORITY, RUNNING ACCOUNT AUTHORISATIONS

### GLOBE CAPITAL MARKET LIMITED

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

#### A. VERBAL ORDER ACCEPTANCE AUTHORISATION

I/we am dealing with you as client at NSE/BSE/MSEI/MCX/NCDEX/ICEX in Capital, Derivative, Currency Derivative & Commodity Segment. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/ dealing on my/our behalf as per instruction given below.

I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement/ modification and cancellation in writing and to avoid disputes, I/We must give instruction in exactly the format in duplicate (carbon copy/ photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon copy/ photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid the it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/our authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line/mobile phone) and execute the same. I/ We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement/modification and cancellation of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

#### B. FIT AND PROPER PERSON DECLARATION

**As per Regulation 19(1) of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) which states that no person shall, directly or indirectly, acquire or hold equity shares of a recognised Stock Exchange or recognised Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations.**

Regulations 19 and Regulations 20 as prescribed by SEBI (herein referred as "Board") are reproduced below:

##### A. Eligibility for acquiring or holding shares.

- (1) No person shall, directly or indirectly, acquire or hold equity shares of a recognised stock exchange or recognised clearing corporation unless he is a fit and proper person.
- (2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a recognised stock exchange or recognised clearing corporation shall seek approval of the Board within fifteen days of the acquisition.
- (3) A person eligible to acquire or hold more than five per cent of the paid up equity share capital under sub-regulation (2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five per cent of the paid up equity share capital of a recognized stock exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.
- (4) Any person holding more than two per cent. of the paid up equity share capital of the recognised stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.
- (5) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.
- (6) Any person holding more than two per cent. of the paid up equity share capital in a recognised stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognised clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.

##### B. Fit and proper criteria.

- (1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if—
  - (a) such person has a general reputation and record of fairness and integrity, including but not limited to—
    - (i) financial integrity;

- (ii) good reputation and character; and
  - (iii) honesty;
- (b) such person has not incurred any of the following disqualifications—
- (i) the person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;
  - (ii) an order for winding up has been passed against the person;
  - (iii) the person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;
  - (iv) an order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
  - (v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
  - (vi) the person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and
  - (vii) the person is financially not sound.
- (2) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final.

I/we hereby declare that, I/we am/are fit & Proper person as per the above rules & Regulations of the SEBI.

### **C. GENERAL AUTHORITY**

#### **Sub: Letter of Authority**

I/we dealing with you as client at NSE/BSE/MSEI/MCX/NCDEX/ICEX in Capital, Derivative, Currency Derivative & Commodity Segment and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other segments maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby 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 contract notes issued by you.
3. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or all the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares/commodities in your client demat beneficiary account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in my /our account and not settled as per the exchange requirements.
4. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts notes issued by you.
5. I/We request that you/exchange/other regulatory authority may send/dispatch to me/us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at my/our e-mail ID.
6. I/We will inform you the change of my/our demographic detail and other detail like Bank, DP etc.
7. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, commodities online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, nonavailability or malfunctioning of your System or Service for any reason whatsoever.
8. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.

9. I/We am/are agreeable for inter-settlement transfer of securities/commodities towards settlement.
10. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
11. All fines/penalties and charges levied upon you due to my/our acts / deeds or transaction may be recovered by you from my/our account.
12. I/we have a Trading as well as depository relationship with GLOBE CAPITAL MARKET LTD. Please debit the charges relevant with depository services to my/our trading account. I/we also agree to maintain the adequate balance in my/our trading account/ pay adequate advance fee for the said reason.
13. I/we authorise you to send me/our the physical Contract notes/Margin statement/Ledger/Other documents through postal/courier and to charge administrative/postal/other charges if the contract notes sent to me get bounced more than 5 times.
14. For the purpose of providing quality and transparent services to its clients, the Company may record your conversation while interacting with you."

#### **D. LETTER OF AUTHORISATION TO PLEDGE THE SECURITIES WITH CLEARING MEMBER/ CLEARING CORPORATION**

I/We are dealing through you as a client registered in NSE/BSE/MSEI/MCX/NCDEX/ICEX in Capital Market/ Future & Options/ Currency Derivatives/ Commodity Segments. I/we have pledged/provided you the securities (including shares and commodities both) as margin. I/we hereby confirm and declare that:

- (i) The Securities/Commodities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise
- (ii) The Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of me/us.
- (iii) I/we authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary from time to time.
- (iv) I/ we agree that the securities shall be subject to the first priority and lien in favour of Trading Member to secure, my/ our obligations and that the rights or interests of me/ us with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Trading Member in respect of the Said Securities
- (v) You may invoke the pledge without any reference to or permission of me/ us and upon receipt of the Said Securities/Commodities, Trading Member may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against me/us.
- (vi) I/we shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

#### **E. RUNNING ACCOUNT AUTHORISATION**

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity segment and/or Interest Rate future Segment and/or Mutual Fund Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to settle my fund once in  30 days or once in  90 days or such other period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds/Mutual Fund Units towards such obligations and may also retain the funds as calculated in the manner specified by the exchanges.
4. I/We confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

The running account authorization provided by me/us shall continue and remain valid until it is revoked by me/us anytime in writing.

Sign here : (15) 

Date: .....

Place : .....

**F. DECLARATION BY THE CLIENT TO ABIDE THE NET OPEN INTEREST POSITION AS PERMISSIBLE IN ANY COMMODITY**

Dear Sir,

Subject : My / Our request for trading in commodity forward contracts / commodity derivatives on All Exchanges as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/S&I/300/2017 dated August 23, 2017 issued by the Multi Commodity Exchange of India Ltd. (MCX), circular no NCDEX/TRADING-114/2006/247 dated September 28, 2008 issued by the National Commodity & Derivatives Exchange Limited (NCDEX), circular no. ICEX/Trading/2012/220 issued by the Indian Commodity Exchange Limited (ICEX) and SEBI Curcular No. SEBI / HO/CDMRD/DMP/CIR/P/2016 dated September 27, 2016 or any other circulars issued by SEBI/Exchange from time to time on stated matter on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same. I/We hereby undertake that I/we do not trade through any Trading Member other than Globe Capital Market Limited.

OR

I/We hereby declare that I/we are also trading in Commodities through \_\_\_\_\_ (name of the Trading Member) having Member ID \_\_\_\_\_ in  MCX  NCDEX  ICEX under the Client ID \_\_\_\_\_ and through \_\_\_\_\_ name of the Trading Member having Member ID \_\_\_\_\_ in  MCX  NCDEX  ICEX under the Client ID \_\_\_\_\_.

I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by MCX/NCDEX/ICEX or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of all exchanges as modified from time to time.

I/We undertake to inform you or keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, take or holds any position in any commodity forward contract/commodity derivative on MCX/NCDEX/ICEX through you or through any other member(s) of MCX/NCDEX/ICEX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX/NCDEX/ICEX/ as modified from time to time.


I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your client on MCX/NCDEX/ICEX only on the basis of our above assurance and undertaking.

I/We further undertake to bear any liability/penalty/charges levied by MCX/NCDEX/ICEX for the non compliance of the aforesaid circulars or as modified from time to time.

Yours faithfully

Sign here : (16) 

**PCD (Participants Category disclosure)**

To <b>GLOBE CAPITAL MARKET LIMITED</b> Ansal Bhawan, 16 Kg Marg, New Delhi-110001 <b>Sub: Participants Category disclosure (circular SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 (04-01-19))</b> I/We hereby confirm that among the given categories, I/We pertain to category I/we have ticked and authorize you to update the same in your records and for onward submission with Exchange.		
Catagories	All Commodities	Specific Commodities (mention the names of commodities)
<b>FPOs/ Farmers</b>	<input type="checkbox"/> < Tick for All	
<b>VCPs (Arbitrageurs, Importer, Exporter, Hedger, Phy. Mtk Trader, etc.)</b>	<input type="checkbox"/> < Tick for All	
<b>Domestic Financial Institutional Investors (Banks, Insurance Com, Mutual Fund, etc.)</b>	<input type="checkbox"/> < Tick for All	
<b>Foreign Participants (NRI, EFE, etc.)</b>	<input type="checkbox"/> < Tick for All	
<b>Proprietary Traders</b>	<input type="checkbox"/> < Tick for All	
<b>Others</b>	<input type="checkbox"/> < Tick for All	
	<b>Clients Signature : With Date</b>	Sign here : (17) 

## LETTER OF AUTHORITY TO TRADE

To,

**GLOBE CAPITAL MARKET LIMITED (GCML)**

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

**Sub: Authority to trade on my / our behalf.**

Dear Sir/Madam,

I hereby authorise Mr/Ms. \_\_\_\_\_ S/d of \_\_\_\_\_  
having PAN \_\_\_\_\_, UID No \_\_\_\_\_ & Mobile No \_\_\_\_\_ is my  
husband/wife/son/daughter/brother/sister/parents/other (Please Specify) \_\_\_\_\_ to trade on my  
behalf in my trading a/c No \_\_\_\_\_ and to perform all or any of the following acts, deeds and things for and on  
my /our behalf and in my/our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.

1. To operate the Account on my/our behalf.
2. To issue necessary instructions to you, for purchase, sale or transfer of shares and commodities from or to the Accounts as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities and commodities from or to the Account.
3. To make or cause to make payments to GLOBE CAPITAL MARKET LTD(GCML). whenever necessary, and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and GCML.
4. To duly honour all my/our contractual obligations under various agreements executed between me/us and GCML. including but not limited to the "Member Constituent Agreement" and/or any other undertaking, commitment issued by my/us in favour of GCML.
5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to GCML.
6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from GCML. at designated mobile no. & undertake to update this contact detail in writing with GCML. in the event of any such change, taking place at any time in future.
7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
8. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
9. I/we hereby agree and undertake to indemnify and keep GCML. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the GCML. for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
10. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
11. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until GCML. received and acknowledged revocation letter at its registered office.

Sign here : (18) 

Authorised Person Signature \_\_\_\_\_

**DECLARATION BY KARTA & ALL THE CO-PARCENERS (for HUF only)**

To  
**GLOBE CAPITAL MARKET LTD.**  
 609, Ansal Bhawan, 16 K.G, Marg,  
 Connaught Place, New Delhi- 110001

Dear Sir/Madam,

1. Whereas the Hindu Undivided Family of is carrying on business in the firm name and style of at as given in PAN card of HUF or we intent to deal have or desire to have Securities Trading Account with Globe Capital Market Ltd. (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult coparceners of the said joint family. Name of Karta & Coparceners are given in below table.
2. We confirm that affairs of HUF firm are carried on mainly by the Karta on behalf and in the interest and for the benefits of all the coparceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.
3. He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every coparceners of the said joint family, including the share of the minor coparceners, if any.
4. We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations f the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
5. The names and dates of the birth of all the present minor & major coparceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm
6. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

**List of Members / Coparcener**

S. No.	Name of Coparcener/Member	Relationship with Karta	Gender	Whether Coparcener/Member (please specify)	Date of Birth	Signature
1.		<b>KARTA</b>				
2.						
3.						
4.						
5.						
6.						

Signature of Karta with Rubber Stamp



## ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (VOLUNTARY)

### GLOBE CAPITAL MARKET LIMITED

NSE, BSE, MSEI, MCX, NCDEX & ICEX  
609, Ansal Bhawan, 16, K.G. Marg, Connaught Place,  
New Delhi-110001

Dear Sir,

I/We a client with Member M/s. Globe Capital Market Limited of NSE, BSE, MSEI, MCX, NCDEX, and ICEX Exchange undertake as follows:

- I/We am/our aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourself want the same in the electronic form.
- I/We am aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/our.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My/our email id is as given on KYC. This has been created by me and not by someone else.
- I/we am aware that this declaration form should be in English or in any other language known to me.
- I/we am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am/our aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

\*(The email id must be written in Own handwriting of the client.)

Signature of the Client

(19) 

## BANK MANDATE AUTHORIZATION

To

### GLOBE CAPITAL MARKET LTD.

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

#### Sub: Mutual Fund Service System (MFSS) facility/ BSE StAR MF and other MF approved platform


Dear Sir/Madam,

This is with reference to my/our request for availing Mutual Fund Services (MFSS) facility/BSE StAR MF and other MF approved platform as a client offered by NSE and BSE, I /we hereby undertake to provide funds to Globe Capital Market Ltd. (herein referred to as "Globe") equivalent to the subscription amount and applicable brokerage/fees /charges before applying for mutual fund units through the "Globe".

For this purpose, I/We hereby authorize "Globe" to utilize the surplus funds in my /our trading account held with "Globe" in its capacity as a Stock Broker and transfer funds to the extent of any shortfall towards subscription amount and / or applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption) and/or any other obligation to meet the debit in my/our Mutual fund transaction account.

I further authorize "Globe" to process One Time Mandate Form duly executed by me in favour "Globe"/BSE and to honour the obligations that arises as a result of transactions undertaken by me/us and also debit my account for any other incidental charges including Account Maintenance Charges (AMC), applicable brokerages, fees, other statutory charges etc.

I / We hereby authorize "Globe", to execute an order in my/our account held with "Globe" for any transaction in Mutual Fund Unit which may include purchase/redemption/switch/SIP etc. on my/our instructions provided by me/us either electronically or in writing, verbally/telephonically. I hereby agree and understand that the said instructions shall be valid and binding upon me/us.

Sign here : (20) 

## MUTUAL FUND FACILITY

To,

**Globe Capital Market Limited(GCML)**

609, Ansal Bhawan, 16, K.G. Marg, Connaught Palace, New Delhi-110001

**Sub: Mutual Fund Service System (MFSS )Facility/ BSE StAR Mutual Fund Facility & other MF approved platform.**

Sir, I/We am/are registered as your client for the purpose of trading in the Capital Market segment and/or Derivatives segment. I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and/or BSE StAR MF and/or other MF. For the purpose of availing these facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of this facility 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 NSE Circular dated November 24, 2009, BSE circular dated December 2, 2009 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 agree and authorize you to issue payment on my behalf by debiting my account with the value of my/our transactions along with charges.

I/we therefore request you to register me/us as your client for participating in mutual fund trading facility of exchanges.

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

- I. Pre-requisites for becoming Investor / Client for the MFSS facility/ BSE StAR MF /other MF platform.
  - I.1. The client who is desirous of investing in units of mutual fund schemes through the MFSS / BSE StAR /other MF platform.
  - I.2. The Client intends to execute his instruction for the subscription/ redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the MFSS / BSE StAR /other MF platform
  - I.3. The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transacting through the MFI.
  - I.4. The Client has approached to the MFI with the application for availing the MFSS facility/BSE StAR/other MF platform
  - I.5. The client has submitted relevant KYC (Know Your Client) details to the MFIs
- 2. Terms and Conditions**
  - 2.1. The client shall be bound by circulars/ notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL/BSE and 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 MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the MFSS / BSE STAR/other MF platform or at any time thereafter.
  - 2.3. The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI
  - 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 Exchanges, SEBI and AMFI.
  - 2.7. The Client shall pay to the MFI 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 MFI renders to the Client.
  - 2.8. The client will furnish information to the MFI 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 MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL), other exchanges/Clearing Corporation.
  - 2.10. In case of any dispute between the MFIs and the investors arising out of the MFSS facility/ BSE StAR/other MF platform, exchanges and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Sign here : (21) 

## TERMS & CONDITIONS - BANK MANDATE

### A. Bank Mandate in favour of BSE

Pursuant to agreed by me/us to invest in units of mutual funds schemes through the MFSS/BSE StAR MF/other MF platform on terms and condition mentioned therein, I further understand and acknowledge that:-

1. Bank Mandate shall be in favor of 'BSE Limited'. (Hereinafter 'BSE')
2. My/Our name MUST match with the name registered with GLOBE as per the UCC.
3. The Bank details in the Bank Mandate MUST match with registered bank details in my/our Trading Account.
4. The Transaction value and brokerage charges, if any, shall be debited from my/our bank account.
5. BSE reserves the right to register bank mandate in any available modes (ACH & ECS etc.).
6. Mandate registration may take 30 working days to get registered from the date of submission of Mandate at GLOBE's office subject to Bank Confirmation.
7. My/Our bank may charge for activating any such services from my/our account. Neither GLOBE nor its service provider shall be held responsible or bear any such charges.
8. I/We shall ensure sufficient balance in my/our bank account for successful processing of Transactions.
9. Mandate format is subject to change as per the guidelines received from BSE or RBI/Bank or other concerned governmental or statutory authorities. On receiving any such intimation from RBI or Bank or any other concerned party, GLOBE or its service provider may change the Mandate without prior notice to me/us & Transactions may be rejected by GLOBE or its service provider or my/our Bank due to any such change. Neither GLOBE nor its service provider shall be held responsible for any such rejections.
10. Payment collection shall be done by BSE for any SIP which is registered on the Mandate registered with BSE.
11. If the installment amount is not received by BSE on or before SIP installment date, SIP Installment will be cancelled by BSE.
12. For cancelled installment, collected amount shall be refunded to my/our registered bank account.
13. GLOBE reserves its rights to change the terms and conditions from time to time.
14. Any dispute shall be subject to jurisdiction of Courts at Delhi only.

### B. Bank Mandate in favour Globe Capital Market Ltd.

Pursuant to agreed by me/us to invest in units of mutual funds schemes through the MFSS/BSE StAR MF/other MF platform on terms and condition mentioned therein, I further understand and acknowledge that:-

1. Bank Mandate shall be in favor of 'Globe Capital Market Limited'. (Hereinafter 'GLOBE')
2. The Bank details in the Bank Mandate MUST match with bank details in my/our Trading Account.
3. My/our Signature on bank mandate must be as per bank records. Signature of all bank account holders required if mode of holding in account is "Joint"
4. GLOBE reserves the right to register bank mandate in any available modes (. Auto Debit, ACH, ECS etc.).
5. Bank Mandate may take 30 days to get registered from the date of submission of Mandate at GLOBE's office (subject to Bank confirmation).
6. My/Our bank may charge from my/our account for activating any such services. Neither GLOBE nor its service provider shall be held responsible or bear any such charges.
7. Mandate format is subject to change as per the guidelines received from RBI/Bank or other concerned governmental or statutory authorities. On receiving any such intimation from RBI or Bank, GLOBE or its service provider may change the Mandate without prior notice to the me/our & Transactions may be rejected by GLOBE or its service provider or my/our Bank due to any such change. Neither GLOBE nor its service provider shall be held responsible for any such rejections.

8. The mandate authorizes GLOBE to recover any debit balance in my/our Depository Participant and/or Trading account of any segment in any of the Stock Exchange(s).
9. This mandate further authorizes GLOBE to collect the dues, if any, arises due to purchase of mutual funds or SIP by me/us.
10. This mandate covers my/our all the fund obligations including pay-in and other charges etc in respect of my/our transactions and on account of any default thereon.

### C. SIP SPECIFIC TERMS & CONDITIONS

1. The SIP will be registered pursuant to the details given in the TIS (Transaction Instruction Slip) & incomplete TIS or incorrect information may be subject to rejection by GLOBE.
2. GLOBE will check the correctness of TIS & other documents submitted before registration of my/our SIP(s).
3. I/We shall all the time abide by these Terms and Conditions while submitting the Transaction Instruction Slip to GLOBE.
4. Amount debited from my/our bank account for SIP transaction(s) shall include Brokerage charges, if any.
5. I/We can register for SIP in the schemes which are available on Exchange(s) and offered by GLOBE.
6. SIP shall commence only after successful registration of the Mandate.
7. SIP shall commence after 40 days from the date of submission of TIS and Bank Mandate at GLOBE's office as per the SIP start date selected.
8. In case, where Bank Mandate is already registered and I/We desire to start additional SIP against the existing Mandate Limit, SIP start date may take 10 to 15 working days from the date of submission of TIS at GLOBE's office as per the SIP Start Date selected (applicable in case an open mandate is given).
9. Depending upon the my/our location, my/our bank branch, my/our Bank Account shall be debited between 3 to 5 days prior or on SIP transaction date on Exchange(s). e.g: if the SIP transaction date is 15th of every month, my/our bank account may get debited between 10th to 12th date or maximum by 15th.
10. Maximum Upper Limit: Cumulative amount on a particular date shall not exceed the upper limit mentioned on the Bank Mandate. e.g: if the upper limit mentioned on the bank mandate is 10,000 & investor has registered 3 SIPs of 5000/- each on 1st, 15th & 28th of every month, all the SIPs will be successfully registered. But a single SIP of 11000/- on a same date will not be registered.
11. If the Transaction(s) are delayed / not processed due to any reason including delay / non realization of the funds to GLOBE from my/our bank account, in no circumstances, GLOBE owes responsibility to me/us or any third party, whatsoever.
12. If the transaction(s) are delayed / not processed due to any reason on the SIP due date, no back dated NAV will be given in any circumstances whatsoever.
13. In case of my/our SIP fund is realised in GLOBE account after SIP due date, my/our SIP transaction will be cancelled by GLOBE and such transaction shall be processed as "Purchase" on the date of realisation of the funds. If for any reason, "Purchase" transaction could not be processed, the funds will be refunded to my/our bank account.
14. Payment collection shall be done by BSE for any SIP which is registered on the Mandate registered with BSE.
15. If the installment amount is not received by BSE on or before SIP installment date, SIP Installment will be cancelled by BSE.
16. For cancelled installment, collected amount shall be refunded to my/our registered bank account.
17. GLOBE reserves rights to change the terms and conditions from time to time.
18. Any dispute shall be subject to jurisdiction of Courts at Delhi only.

Sign here : (22) 

## TERMS & CONDITIONS - ONLINE MUTUAL FUNDS

For Online Investing in Mutual Funds, the below mentioned terms and conditions are in addition to and binding on the existing Power of Attorney Executed by you.

### Definitions :

"Unit" shall mean the interest of an investor, which consists of one undivided share in the Net Assets of the Scheme.

"Net Asset Value (NAV)" of the Units of the Scheme will be computed by dividing the net assets of the Scheme by the number of Units outstanding on the valuation date.

"Purchase" shall mean subscription to the units of the various schemes of the Mutual Fund.

"Redemption" shall mean sale of the units of the various schemes of the Mutual Fund.

"Switch" shall mean an option to the investor to shift his existing investment in any of the schemes of the Mutual Fund to another scheme of the Mutual Fund.

"Systematic Investment Plan (SIP) or "Automatic Investment Plan (AIP)" or " shall mean an option available to the investor for investing in a specified frequency of months in a specified scheme of the Mutual Fund for a constant sum of investment.

"Systematic Withdrawal Plan (SWP) or "Automatic Withdrawal Plan (AWP)" or " shall mean a facility provided to the investor to withdraw a pre-determined amount in a specified frequency of months from a specified scheme of the Mutual Fund.

1. Load shall mean a charge, which the Asset Management Company (AMC) may collect on entry and/or exit from a scheme.
2. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the Mutual fund / Globe Capital Market Limited responsible in any way.
3. The units of the schemes shall be allotted, redeemed or switched, as the case may be, at the Net Asset Value (NAV) prevalent on the date of the application, if the application for purchase, redemption or switch is received by the Fund before the cut-off time as specified on the website and consistent with the terms of the Scheme. Globe Capital Market Limited. shall take all necessary action to ensure that the NAV allotted is the NAV applicable on the date of the transaction. However Globe Capital Market Limited. shall not be liable for any loss that may arise to the client as a result of the correct NAV not being allotted to the client's transactions on the website.
4. Any request falling due on a holiday would be processed on the next business day and respective NAV would be applicable as per the Mutual Fund's offer document.
5. In case of an NFO the units shall be allotted upon completion of allotment process. The NFO is open only for the period specified by the Mutual Fund. After the end of the NFO period, any forms submitted by the client shall be liable for being rejected by the chosen Mutual Fund and transfer of funds if any made by the client for the said transaction shall be at the sole risk and liability of the client.
6. In the case of Automatic Investment Plan, in the absence of sufficient allocated funds, unallocated funds to the extent available shall also be utilized. In the absence of sufficient funds, both allocated and unallocated, no investment shall be made for that particular period.
7. For change of address or any personal details of the client, the client shall send a letter or fax to Globe Capital Market Limited. signed by all the co-holders.
8. Investors are advised to read the risk factors carefully before taking an investment decision. Offer document(s) / abridged offer document(s) are available with Mutual Fund Asset Management Companies. For taking an investment decision, investors must rely on their own examination of the issuer and offer, including risk involved.
9. Globe Capital Market Limited. does not accept any liability for delay in processing time at the Mutual Fund's or Registrar's end.


10. It is explicitly stated herein that the Mutual Fund schemes offered online, have not been recommended by Globe Capital Market Limited., nor have been sponsored by Globe Capital Market Limited. Limited, or its affiliates or its sponsors.
11. Neither Globe Capital Market Limited., nor any of the Mutual Funds shall be liable for any failure to perform its obligations, to the extent that such performance has been delayed, hindered or prevented by systems failures, network errors, delay or loss of data due to the above and in circumstances of acts of God, floods, epidemics, quarantine, riot or civil commotion and war:
12. Globe Capital Market Limited. shall provide its services on a best effort basis. However Globe Capital Market Limited. shall not be liable for failure of the system or for any loss, damage or other costs arising in any way out of:
  - a) System failure including failure of ancillary or associated systems, or fluctuation of power, or other environmental conditions; or
  - b) Accident, transportation, neglect, misuse, errors, frauds of the clients or agents or any third party; or
  - c) Any fault in any attachments or associated equipment of the clients; or
  - d) Any incidental, special or consequential damages including without limitation of loss of profit.

The client further agrees to indemnify Globe Capital Market Limited. for any loss that may arise as a result of system failure, accident or any of the reasons mentioned above.

13. For all correspondences with Globe Capital Market Limited., the client shall quote his e-broking account no.
14. I/We hereby agree/s to indemnify both the Mutual Fund and Globe Capital Market Limited and its employees for any loss arising as a result of any loss of data, unauthorized transaction / error during the financial transaction thereof.
15. I/we am/are aware that in order to comply with regulatory provisions under the Prevention of Money Laundering Act 2002, Rules issued there under and related guidelines/circulars issued by SEBI, KYC formalities are required to be completed for all Unit Holders, including Guardians and Power of Attorney holders, for any investment (whether new or additional purchase) of Rs. 50,000 or more in mutual funds. For the convenience of investors in mutual funds, all mutual funds have made special arrangements with CDSL Ventures Ltd. (CVL), a wholly owned subsidiary of Central Depository Services (India) Ltd. (CDSL). I/We hereby agree to indemnify the Mutual Fund/ Globe Capital Market Limited /Registrar and its employees for any rejection/loss arising as a result of not completing KYC registration during the financial transaction thereof.
16. Upfront commission shall be paid directly by the investor to the AMFI registered Distributor based on the investors' assessment of various factors including the service rendered by the distributor.
17. The Distributor has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

" The Terms and Conditions set hereinabove may be modified by Globe Capital Market Limited. without any prior notice to the client and the client's continued usage of the services shall be deemed to be an acceptance of the modified terms."

I/we have gone through the offer document/key information memorandum before deciding to make this investment in the mutual fund scheme.

Sign here : (23) 

## 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 or 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 a 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 apostilled 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, FVCI, 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.

### F. NRI (If Non Resident/Foreign National, self certified copy of statutory approval obtained must be attached)

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

**OPTION FORM FOR ISSUANCE OF DIS BOOKLET ALONG WITH ACCOUNT OPENING**

Date: 

D	D	M	M	Y	Y	Y	Y
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DP ID										Client ID							
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To, (Select one of the Options given below)

**GLOBE CAPITAL MARKET LIMITED**  
 804, Ansal Bhawan, 16 K. G. Marg, Connaught Place,  
 New Delhi-110001

Dear Sir/Madam,

I/We hereby state that:

**OPTION 1:**

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my/our account though I/we have issued a Power of Attorney (POA) / **Registered for eDIS** / executed PMS agreement in favour of/with \_\_\_\_\_ (Name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such **Power of Attorney holder** -Clearing Member/by PMS manager/**for executing delivery instructions through eDIS.**

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Signatures			

OR

**OPTION 2:**

I/We do not require the Delivery Instruction Slip (DIS) **booklet** for the time being, since I/We have issued a POA/**registered for eDIS**/executed PMS agreement in favour of/with (name of the attorney /Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such **Power of Attorney Holder**- Clearing Member/by PMS manager **or for executing delivery instructions through eDIS.** However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my/our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Signatures			

(Please Tear Here)

**Acknowledgement Receipt**

Received OPTION FORM FOR ISSUE/NON ISSUE OF DIS BOOKLET from:

DP ID										Client ID							
First Holder Name																	
Second Holder Name																	
Third Holder Name																	



## OUR SERVICES

- Equities
- Derivatives
- Commodities
- International Trading
- Currency Derivatives
- Portfolio Management
- Insurance
- Mutual Fund
- IPOs
- Online Trading
- Depository Services
- Clearing Services
- Advisory Services
- Research
- Dedicated Private Client Group (PCG) Desk

(For Head Office use only)

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# GLOBE

money *must* grow

### Globe Capital Market Ltd.

**Regd. & Corporate Office:** 609, Ansal Bhawan, 16 K.G. Marg, Connaught Place, New Delhi 110001

**CIN No. -** U74100DL1985PLC021350

**Depository Divison:** 804, Ansal Bhawan, 16 K.G. Marg, Connaught Place, New Delhi 110001

Tel.: 011-30412345, 40412345, 43666400, 43666566 • Fax 011- 23720883, 23712630

Email: mail@globecapital.com, customercare@globecapital.com

In case of any grievances please write to igr@globecapital.com, investor\_trading@globecapital.com, globedp@globecapital.com

### SEBI Regn. No.:

Equity SEBI Registration No INZ000177137. Exchange Registration Nos NSE : TM No-06637, Clearing No-M50302, BSE : Clearing No-3179, MSEI : TM Code-1004, MCX TM No. : 8091, Clearing No. : 8090, NCDEX TM No. : 1287, Clearing No. : M51085, ICEX TM No. : 2084, Depository Participant : IN-DP-NSDL-97-99

