

THE CLIENT REGISTRATION FORM FOR CORPORATE, FIRMS & OTHERS

(This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required law or in case of express permission of clients)

To,
Swastika Investmart Limited
 48, Jaora Compound,
 MYH Road,
 Indore-452001

Particulars	Exchange	Sebi Registration No.
Cash Segment	National Stock Exchange	INB231129736
	Bombay Stock Exchange Limited	INB011129732
Derivative Segment	National Stock Exchange	INF231129736
Currency Derivative Segment	National Stock Exchange	INE231129736
	MCX-Stock Exchange Limited	INE261129736
	United Stock Exchange	INE271129732
Clearing Member	Globe Capital Market Limited, 710, Ansal Bhavan, 16, K.G. Marg, Cannaught Place, New Delhi-110001	

We request you to register us as your client / constituent and enable us to trade in the capital market segment (CM), Future and option segment (F&O) & Currency derivatives segment (CDS) pursuant to the agreement entered with you. We have read the rules, bye laws and regulations of the exchanges pertaining to these segments and agree to abide by them. In this regard we give the following informations:-

ACCOUNT DETAILS	
CLIENT TYPE	Pvt. Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Trust <input type="checkbox"/> Others (please Specify) _____
MODE OF TRADING	Online <input type="checkbox"/> Off-Line <input type="checkbox"/>

CLIENT DETAILS		(Please fill all the details in CAPITAL LETTERS only)			
Name of Corporate/Firm					
Registered Office Address					
Correspondence Address (if different)					
Telephone No. (!)		Telephone No. (2)			
Fax Number		Mobile No.			
E-mail ID:					

PAN No.																				
Date of Incorporation / establishment																				
Registration No. (With ROC, SEBI etc.)																				
Bank Details										(through which transactions will be generally be routed)										
Type of Account	Savings Account			Current Account			Others (Specify) _____													
Bank Account No.																				
Bank Name																				
Branch Address																				
IFSC Code																				
9-Digit Code Number of the Bank and branch appearing on the MICR cheque issued by the Bank																				
Demat Account Details										(through which transactions will be generally be routed)										
Depository Participant Name													NSDL	CDSL						
Address																				
DP ID																				
Client ID																				
Details Of Promoters/Partners/Whole Time Director/Authorised Person																				
1. Name																				
PAN																				
Date of Birth																				
Designation											Qualification									
Residential/ Permanent Address																				
2. Name																				
PAN																				
Date of Birth																				
Designation											Qualification									
Residential/ Permanent Address																				
3. Name																				
PAN																				
Date of Birth																				
Designation											Qualification									
Residential/ Permanent Address																				
Details of persons authorized to deal in securities on behalf of the company/firm/others																				
1. Name																				
PAN																				
Date of Birth																				
Designation											Qualification									
Residential/ Permanent Address																				

2. Name																						
PAN														Date of Birth								
Designation											Qualification											
Residential/ Permanent Address																						
Information about Income, Investment and Trading Experience																						
Financial Details (Income Range)	Below 1 Lac	<input type="checkbox"/>	1 Lac – 5 Lac	<input type="checkbox"/>	5Lac – 10 Lac	<input type="checkbox"/>	10 Lac – 25 Lac	<input type="checkbox"/>	25 Lac & Above	<input type="checkbox"/>												
Annual Income (In Rs. Lacs) (Last Three Years)	2009-10: _____			2008-09: _____			2007-08: _____															
Net Worth / Value of Portfolio	Upto 10 Lacs	<input type="checkbox"/>	10 Lac – 50 Lac	<input type="checkbox"/>	50Lac – 1 Crore	<input type="checkbox"/>	1 Crore - 5 Crore	<input type="checkbox"/>	5 Crore & Above	<input type="checkbox"/>												
Investment Trading Experience (Years)	____ Years in Stocks, ____ Years in Derivatives, ____ Years in Currency Derivatives																					
Trading Preference											(Please Sign in the relevant column)											
Segment	Cash Segment	Derivative Segment			Currency Derivative			Mutual Fund														
Exchange																						
1. NSE	Φ		Φ		Φ																	
2. BSE	Φ		N.A.		N.A.																	
3. MCX-SX	N.A.		Φ																			
Whether registered with any other Stock Broker																						
Name of Broker:											Client Code:											
Name of the Exchange: NSE <input type="checkbox"/>											BSE <input type="checkbox"/>			MCX_SX <input type="checkbox"/>								
Details of any Action Taken																						
Details of any action taken by SEBI/ Stock exchanges / RBI or any other financial sector regulator against the constituent or its partners, promoters, whole time directors/Directors, authorized person charge of dealing in securities for violation of securities Law, other economic offence during the Last three years: Yes <input type="checkbox"/> No <input type="checkbox"/> (If Yes, Please provide details) : _____																						
Reference Introducer																						
Introduced by another constituent/director or employee of trading member / any other person (please specify)																						
Name of the Introducer : _____																						
Address: _____																						
PAN No. (Copy Attaches) _____																		(Signature)				
Details of the Employee who interviewed the client																						
Name : _____																						
Designation : _____																		(Signature)				

Declaration

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.

Seal & Signature**Passport Size
Photograph**(Please sign
across the
photograph)(Please sign
across the
photograph)(Please sign
across the
photograph)(Please sign
across the
photograph)**Date:****Place:**

Documents Required for Account opening		
For Corporate Body		
Sr. No.	Particular	Enclosed Yes/No
1	PAN Card of Company, Directors And Authorised Signatory	
2	Proof of Bank account of the company	
3	Proof of Demat account of the company	
4	Address proof of the company&Authorised.Signatories	
5	MOA/AOA	
6	Copy of Latest Income Tax Return	
7	Financial Statement for Last three years (If Newly Incorporated then net worth certificate duly certified by the CA id required)	
8	Latest Shareholding pattern of the company on their letter head mentioning Name of the shareholder, Address, No of share held, paid up value etc.	
9	Copy of the Board resolution approving participation in equity/derivative trading and names of the authorized person for dealing.	
10	List of Present directors with DIN on the letter head of the company.	
11	Photograph of Authorized Signatory and whole time Director on KYC Form	
For Partnership Firm		
1	PAN Card of Partnership Firm and all the Partners	
2	Proof of Bank account of the Partnership Firm	
3	Proof of Demat account in the name of all partners as Joint holders	
4	Address proof of the Partnership Firm and Partners	
5	Copy of the Partnership Deed	
6	Details of all partners (include Name, Address, Sharing details etc on the letterhead of the partnership firm)	
7	Copy of Latest Income Tax Return	
8	Financial Statement for Last three years (If Newly established firm then net worth certificate duly certified by the CA id required)	
9	Declaration for considering Demat Account in the joint name of the partners as per below given format)	
Note:- All the copy of the documents mention above should be self certified by the authorized signatory/Partner along with the seal of the company/Partnership.		

(On the Letter Head of the company)

**EXTRACT OF THE MINUTES OF THE MEETING OF THE BOARD OF DIRECTORS
OF _____ HELD ON _____, THE _____ DAY
OF _____, 2009 HELD AT ITS REGISTERED OFFICE IN INDORE - 452001**

The Chairman informed the Board that in order to use the surplus/idle fund of the Company, it would be desirable to invest the same in the Capital market or any other mode. It was also proposed that for this purpose, a trading account and demat be opened with **M/s Swastika Investmart Ltd** which is a member of the National Stock Exchange of India Ltd. and Bombay Stock Exchange Ltd and to authorise it to honor the instructions given by the persons authorized by the Company in this behalf. The Board discussed the matter and passed the following resolution in this regard.

“RESOLVED THAT the consent of the Board be and is hereby accorded to open a trading and demat account with **M/s Swastika Investmart Ltd**, a member of the National Stock Exchange of India Ltd. and Bombay Stock Exchange Ltd, and to deal on Capital Market Segment, Futures and Options segment, or any other segment that may be introduced by NSE/BSE.

FURTHER RESOLVED THAT M/s Swastika Investmart Ltd be and is hereby authorized to honor instructions, oral or written, given on behalf of the company by any of the under noted authorized signatories;

Sr. No.	Name	Designation
1.		
2.		
3.		

who are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through with Swastika Investmart Ltd. on behalf of the Company.

FURTHER RESOLVED THAT Mr. _____, Director of the Company be and is hereby authorized singly **and** is hereby authorized, to sign, execute and submit such applications, undertakings agreements and other requisite documents, writings deeds as may be deemed necessary or expedient to open the Trading and Demat Account and give effect to this resolution.

CERTIFIED TRUE COPY

For.

Director (1)
Name

Director (2)

Director (3)

(On the letter Haed of Partnership Firm)

DECLARATION TO BE GIVEN BY THE PARTNERS ON THE LETTER HEAD OF THE FIRM

Date:

To,
Swastika Investmart Limited,
48, Joara Compound,
MYH Road,
Indore-452001

Dear Sir,

We refer to the trading account being opened or opened with you in the name of M/s _____ Client Code _____ and declare and authorise you as under.

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operation, we authorise you to recognize the beneficiary account no. _____ with depository participant _____ opened as a joint account in the name of all partners or any of the partner of the firm.

We agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfer to/from the above mentioned account. we recognize and accept transfer made by you to the beneficiary account as complete discharge of obligation by you in respect of trades executed in the above trading account of the firm.

We hereby authorize to Mr./Ms. _____, partner in to execute / sign and submit such documents, agreement, deeds etc. as may be necessary to enter into the agreement and engage in business and to sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and sign the authority letter for adjustment of balances in family account.

Further we are undersigned as to partner of the firm and as jointly / solely responsible for the liabilities thereof. We shall advise you in writing of any change that take place in the constitution of the firm and we will be liable to you for all the losses, damages etc may incur in the course of dealing with you and undertake to personally discharge such liabilities

Signature along with the stamp of the firm

Name: _____

Client code: _____