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MUDRA OM SECURITIES PVT. LTD.

CLIENT REGISTRATION FORM

Shri/Smt.	:	_____																				
Address	:	_____ _____ _____																				
		PIN _____																				
Phone	:	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																				
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E-mail	:	_____																				

: Regd. Office :

Plot no. 114, M-6, 3, Shree Tower
Zone-II, M.P. Nagar, Bhopal (M.P.)-462011

Phone : 0755-2570375, 4209390

Website : mudraom.com, e-mail : mudraom@yahoo.co.in

ACCOUNT OPENING CHEKLIST

Please fill up form in CAPITAL LETTERS

Provide passport Size Photograph for all Account Holder

All document proof should be self attested

Introducer should also provide the proof of Identity

Proof of Identity and Proof of correspondence is compulsory for all holders in Demat Account.

DOCUMENTARY PROOF

PAN Card (Compulsory)

PROOF OF IDENTITY (ANY ONE)

Note : If Photograph is not clear in PAN CARD and also name position change in PAN CARD with Income Tax website, than provide supporting ID Proof given below any one.

- Passport
- Voter ID Card
- Driving License
- Passport
- Photo Credit/Debit Cards issued by Banks
- Identity Card / Document with Applicant's Photo & Address issued by -
 - Central / State Government and its Department
 - Scheduled Commercial Banks
 - Public Financial Institutions
 - Collages affiliated to Universities
 - Professional Bodies such as (ICAI, ICSI, ICWAI, ICSI, Bar Council etc. to their Members)

PROOF OF ADDRESS (ANY ONE)

- Voter ID Card
- Driving Licence
- Bank Passbook / Original Bank Statement (Latest)
- Passport
- Electricity Bill (not more than 2 month old)
- Telephone Bill (not more than 2 month old)
- Leave and License Agreement
- Agreement for sale
- Identity card/Document with Applicant's Photo / Address issued by
 - Central / State Government and its Department
 - Statutory / Regulatory Authorities
 - Scheduled Commercial Banks
 - Public Financial Institutions
 - Collages affiliated to Universities
 - Professional Bodies such as (ICAI, ICSI, ICWAI, ICSI, Bar Council etc. to their Members)

PROOF OF BANK ACCOUNT

- Cancelled Cheque
- Copy of Bank Passbook/Latest Statment

PROOF OF DMAT A/C (Any One)

- Client Master (Latest with active status) with original seal & sign
- Latest Holding Statement

PROOF OF FINANCIAL DETAIL (ANY ONE)

Compulsory for F&O Segment

- Copy of Income Tax Return
- Copy of Annual Account
- Copy of Form 16/Salary Slip
- Demat Holding Statement
- Bank Statement of Last 3 month
- Net worth Certificate

Website : mudraom.com, e-mail : mudraom@yahoo.co.in

MUDRA OM SECURITIES PVT LIMITED

Registered Office :Plot No.114, M-6-3 Shree Tower Zone-II, M.P. Nagar Bhopal (M.P.) -
462011 Phone:(0755)-2769212,4209390 Fax:(0755)-2570375 E-mail: mudraom@yahoo.co.in
Website: www.mudraom.com

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
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		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	6
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2	Tariff Structure	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and DP Service Charges / Fee Structures.	19-20
3	DP-BO Agreement	Legal Agreement between Person seeking to open account (BO) and Depository Participant	21-22
4	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker/Authorised Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless/mobile technology based trading)	23-26
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MUDRA OM SECURITIES PVT LIMITED

Registered Office :Plot No.114, M-6-3 Shree Tower Zone-II, M.P. Nagar Bhopal (M.P.) -
462011 Phone: (0755)-2769212,4209390 Fax:(0755)-2570375 E-mail: mudraom@yahoo.co.in

website: www.mudraom.com

Member : NSE & BSE,
Depository Participant: CDSL

MEMBERSHIP & SEBI REGISTRATION NO.

Exchange	Membership No.	Segmentwise SEBI Reg. No. and Date			
		CASH		F&O	
NSE	12143	INB 231214330	23/01/2006	INF 231214330	23/01/2006
BSE	6408	INB 011214336	07/10/2011	INF 011214336	07/10/2011

CLEARING MEMBER'S DETAILS

Name & Address	Exchange	Segmentwise SEBI Reg. No. and Date			
		F&O			
		C.M. Code	SEBI Reg. No. and Date		
Mudra om securities pvt ltd. M-6 plot no 114 zone 2 m.p. nagar Bhopal (m.p.) - 462011 SHCIL 301, Center Point Dr. Baba Sahab Ambedkar, Road Parel, Mumbai-400 012	NSE	12143	INF 231214330	23/01/2006	
	BSE	6408	INF01133735	07/10/2011	

DEPOSITORY DETAILS

Name	DP ID	DP SEBI Reg. No.	Date
CDSL	12069600	IN-DP-CDSL-605-2010	16/12/2010

CEO & COMPLIANCE OFFICER'S DETAILS

CEO'S Details	
Name	: MR. VIBHAV MISHRA
Email ID	: VibhuMisha@mudraom.com
Phone No.:	0755-2769212

Compliance Officer's Details	
Name	: MR. VIBHAV MISHRA
Email ID	: compliance@mudraom.com
Phone No.:	9425005332 / 0755-2409390

For any grievance / dispute please contact Mudra om Securities (P) Limited at the above address or
e-mail ID: Mudraom@yahoo.co.in and phone : 0755-2769212

In case not satisfied with the response, please contact the concerned Exchange(s) at

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd.	ignse@nse.co.in	011-23344313
Bombay Stock Exchange Ltd.	iscdelhi@bseindia.com	011-43007413
CDSL	helpdesk@cdslindia.com	022-22728663

Important Note Signature of Client / First Holder Signature of Second Holder Signature of Third Holder
(Signature Types): Signature of Broker Signature of Sub-Broker / AP Signature of Witness

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



Application No. : 1204

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

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

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth d d / m m / y y y y

3. Nationality Indian Other

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

5. PAN Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar) Passport Voter ID Driving Licence Others

PHOTOGRAPH
Please affix the recent passport size photograph and sign across it

(Please see guideline 'D' overleaf)

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village					Pin Code	
State					Country	

2. Contact Details

Tel. (OTH) (ISD) (STD)	IS. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-Mail Id	

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

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify)

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

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

City / Town / Village					Pin Code	
State					Country	

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

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify)

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

C. Other Details (please see guidelines overleaf)

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

OR

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

2. Occupation (Please tick (✓) any one and give brief details):

Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
 Housewife Student Forex Dealer Others (Please specify)

3. Please tick, if applicable: Politically Exposed Person Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

4. Any other information:

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date:

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

IPV Done on d d / m m / y y y y

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

INSTRUCTIONS / CHECK LIST FOR FILING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

- Unique Identification Number (UID) (Aadhaar)/Passport/Voters Identity Card/Ration

Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

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

