



**GLOBALWORTH**

SECURITIES LIMITED

NSE • BSE • MSEI

NAME OF CLIENT \_\_\_\_\_

CLIENT CODE \_\_\_\_\_ BRANCH \_\_\_\_\_

## CLIENT REGISTRATION FORM

Registered & Corporate Office :

716, 7th Floor, Neelkanth Corporate Park, Kiroli Road, Near Railway Station, Vidyavihar (West), Mumbai 400 086  
Tel No:- 022 2101 0000 • Fax No:- 022 2101 0010 • Email : [dp@globalworth.in](mailto:dp@globalworth.in) • Website : [www.globalworth.in](http://www.globalworth.in)

## ACCOUNT OPENING KIT INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.	
			From	To
1	<b>Account Opening Form : A)</b> KYC Form - Document captures the basic information about the constituent and an instruction/check list. <b>B)</b> Document captures the additional information about the constituent to trading account and an instruction/check list.		1	7
2	<b>Rights and Obligations</b> : Document stating the Right & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligation in case of internet/wireless technology based trading.		8	12
3	<b>Risk Disclosure Document (RDD)</b> : Document detailing risk associated with dealing in the securities market.		13	16
4	<b>Guidance Note</b> : Documents detailing do's and don'ts for trading on exchange, for the education of the investors..		17	18
5	<b>Policies and Procedures</b> : Document describing significant policies and procedures of the stock broker.		19	22
6	<b>Rights and Obligation Document for SLBS</b>		23	27
7	<b>Tariff Schedule</b> : Documents detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).		28	28
8	<b>Authorization for running account/request letter</b> : Letter of authority / request to Globalworth Securities Limited.		29	29
9	<b>Intimation of Money Laundering</b> : This Document is to make the client aware of Anti Money Laundering (AML) provisions.		30	30
10	<b>Declaring by sole proprietor/partnership firm</b> : Authorisation to link demat account with trading account.		31	31
11	<b>HUF Declaration &amp; Board Resolution</b> : Declaration of list of family members & formation of Board Resolution for Corporate.		32	32
12	<b>KYC &amp; Supplementary KYC Information &amp; FATCA-CRS Declaration - Entities &amp; HUF</b>		33	40
13	<b>ECN Authorisation</b> : Mandate to issue contracts on digital format and ledger account.		41	41
14	<b>Central KYC Registry</b>		42	43
15	<b>ACKNOWLEDGEMENT</b>		44	44

Name of Stock Broker/Trading Member	Globalworth Securities Limited
SEBI Regn. No. & Date NSE	INZ000189732 Member Code 13994 / 12 AUG 2010
SEBI Regn. No. & Date BSE	INB/INZ000189732 Member Code 6243 / 20 SEP 2010
SEBI Regn. No. & Date MSEI	INZ000189732 Member Code 11960 / 08 FEB 2013
Correspondence & Registered Office	716, 7th Floor, Neelkanth Corporate Park, Kirod Road, Near Railway Station, Vidyavihar (West), Mumbai 400 086
Clearing Member Name / CMID	Edelweiss Custodial Services Ltd. / 14407
SEBI Regn. No. & Date (NSE Derivative & NSE Currency Derivative)	INZ000177437 / 09-JUN-2011
SEBI Regn. No. & Date (BSE Derivative & BSE Currency Derivative)	INZ000177437 11 OCT 2007
SEBI Regn. No. & Date (MSEI Derivative)	INZ000177437 / 11 DEC 2012
SEBI Regn. No. & Date (MSEI Currency Derivative)	INZ000177437 / 01 OCT 2008
Central Depository Services (INDIA) Ltd. (CDSL)	IN-DP-CDSL-172-2016 (DP ID) 12070300. / 15 MARCH 2011
Portfolio Management Service (PMS)	INP000006493 / 10 APRIL 2019
Address & Telephone No.	Tower 3, Wing B, Kohinoor City Mall, Kohinoor City, Kirod Road, Kurla West, Mumbai - 400 070. Tel : 022 4040 7544

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For any grievance/dispute please contact us at the above address or investor@globalworth.in and Tel: 91-22--21010000. In case not satisfied with the response, please contact the Investor Service Cell of Bombay Stock Exchange Limited at is@bseindia.com and Tel: 91-22-22728097 and/or Investor Service Cell of National Stock Exchange of India Limited at ignse@nseindia.co.in and Tel: 91-22-26598190 and / or Investor Service Cell of MCX Stock Exchange Limited at investorcomplaints@mcx-sx.com and Tel: +91+22-67319000

**GLOBALWORTH Securities Limited Do Carry Proprietary Trading Besides Client Based Business**