



GLOBALWORTH

SECURITIES LIMITED

MEMBER: NSE • BSE

DP : CDSL

ACCOUNT OPENING FORM

NON-INDIVIDUAL

Account No	:	_____
Name (1)	:	_____
Name (2)	:	_____
Name (3)	:	_____
DP Internal Ref. No.	:	_____
Mobile No.	:	_____
Email Id	:	_____

CHECKLIST FOR NON- INDIVIDUAL ACCOUNT OPENING

Corporate Entity

- Certified true copy of Board Resolution, duly certified by Managing Director/Company Secretary, authorizing opening of demat account and specifying the name of persons authorized by the Board to operate the said demat account. The resolution must specify the manner of operation of the account and authority given to the authorized signatories to open and operate the account.
- Names of the authorized signatory(ies), designation, photograph and their signatures duly verified by Managing Director/Company Secretary
- Memorandum and Articles of Association & Certificate of Incorporation of the Corporate investor.
- Proof of address evidenced by documents registered with registering authority or bank statement or agreement for sale or leave and licence agreement or acknowledged copy of Income Tax returns.
- PAN card of the corporate entity.

Cms

- True copy of certificate of registration with SEBI, certified by Managing Director/Company Secretary
- Certified true copy of Board Resolution duly certified by the Managing Director/Company Secretary authorizing opening of demat accounts and specifying the name of person(s) authorized by the Board to operate the said demat account. The resolution must specify the manner of operation of the account and authority given to open and operate the demat account.
- Names of the authorized signatories, designation, and their specimen signature duly verified by the Managing Director/Company Secretary.
- Memorandum and Articles of Association of the Company & Certificate of Incorporation of the Corporate Investor.
- Proof of Address evidenced by document registered with registering authority or bank statement or agreement for sale or leave and license agreement or acknowledged copy of Income Tax return.
- PAN Card of the corporate entity.

FIs

- True copy of Certificate of Registration with SEBI, certified by Managing Director/Company Secretary.
- True copy of Board Resolution, duly certified by Managing Director/Company Secretary, authorized by the Board to open the demat account. The resolution must specify the manner of operation of the account given to authorized signatory(ies), to open and operate the demat account.
- Names of the authorized signatory(ies), designation, photograph and their specimen signatures, duly certified by Managing Director/Company Secretary.
- Memorandum and Articles of Association of the Company, if any.

OCBs

- Certified true copy of Board Resolution, certified by Managing Director/ Company Secretary for persons authorized by the Board to act as authorized signatory(ies).
- Names of the authorized signatory(ies), designation, photographs and their specimen signatures, certified by Managing Director/Company Secretary.
- Memorandum and Articles of Association of the Company.
- RBI Registration Certificate.
- Declaration from the OCB that it meets with the guidelines issued by RBI / Ministry of Finance.
- Certificate from overseas auditors in Form OAC or OAC - 1, as may be applicable.
- Statement of account from the Bank.

Banks

- Certified true copy of Board Resolution, or
- Letter on the letterhead of the bank, signed by the Chairman/MD authorizing opening of account and authority given to authorized signatories to open and operate the demat account.
- Names of the authorized signatories, designation, photograph and their specimen signatures, certified by Chairman/Managing Director.
- Memorandum and Articles of association & Certification of Incorporation or Copy of RBI Registration in case of Scheduled / Co-operative banks.
- Proof of address evidenced by document registered with registering authority or agreement for sale or leave and license agreement or acknowledged copy of Income Tax return.

Societies

Registered Society:

- Copy of Certificates of Registration under the Societies Registration Act, 1860.
- List of Managing Committee members
- Certified true copy of Committee Resolution for persons authorized by the Committee to act as Authorized Signatory(ies)
- Names of Authorized Signatories, Designation and their Specimen Signatures.
- True copy of Society Rules and Bye laws Certified by the Chairman / Secretary.
- One passport-size photograph of each authorized signatory with signature across the face of the photograph.
- Proof of address evidenced by document registered with registering authority or bank statement or agreement for sale or leave and license agreement or acknowledged copy of Income tax return.
- Pan card of the society.

Unregistered Society:

- The account should be opened in the names of the members under "Individual" category (maximum three account holders)
- All the documents as applicable for account for account opening under individual category, should be obtained.
- The proof of address and identity documents of the members should be obtained for account opening.
- PAN card of the account holder(s).
- PAN card of the Unregistered Trust (refer: SEBI Circular dated 20-July-2008, point no. 4.6).

Trust

Public Trust/ Charitable Trust and Trust capable of holding property in its name (registered trust / Public Trust):

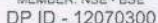
- Account should be opened in the name of the Trust.
- Certificate of Registration of Trust under the Societies Registration Act/ Public trust Act, 1860 / Bombay Public trust Act, 1950 / Public Trust Act, of relevant State.
- Trust Deed and Rules
- List of Members on the Board of Trustees.
- Certified true copy of Board Resolution to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account.
- Names of the Authorized signatories, designation and their specimen signatures duly verified by the Managing trustee.
- One passport-size photograph of each of the authorized signatory(ies) with their signatures across the face of the photograph.
- PAN card of the trust.
- Proof of registered office address evidenced by the document registered with registering authority or bank statement or agreement for sale or leave and license agreement or acknowledged copy of the income tax return.

Private Trust:

- The Board of Trustees shall specify the names of the trustee/s who shall hold / operate the demat account.
- The account should be opened in the names of the trustees under "Individual" category of the first named trustee (maximum three account holders).
- The proof of address and identity documents of the trustees should be obtained for account opening.
- PAN card of the trust.

'Recognized' Funds / Trusts / Other similar entities.

- Certificate of Registration, if any, issued by the authority recognizing the fund/ Trust/ Entity as such:
- Trust Deed and Rules and/or any document or charter defining their constitution and providing for management thereof;
- List of Members on the Board of Trustee/Governing Body;
- Certified true copy of the resolution passed by the Board of Trustees / Governing Body to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account;
- Names of the authorized signatories, designation, and their specimen Signatures duly verified by the Managing Trustee;
- One passport-size photograph of each of the authorized signatory(ies) across the face of the photograph;
- PAN cards issued to such Fund / Trust / Entity
- Proof of registered office address evidenced by document registered with registering authority or bank statement or agreement for sale or leave-and-license agreement or acknowledged copy of Income Tax Return.



Annexure 2.2

Additional KYC Form for Opening a Demat Account

For Non-individuals

[illegible]

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y		
DP Internal Reference No.																			
DP ID											Client ID								

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details :-

Holder's Details

[illegible]

Name *

*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

Type of Account (Please tick whichever is applicable)

Status		Sub – Status									
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify)		To be filled by the DP									
SEBI Registration No. (If Applicable)		SEBI Registration date									
RBI Registration No. (If Applicable)		RBI Approval date									
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____										

I / We instruct the DP to receive each and every credit in my / our account
(If not marked, the default option would be 'Yes')

[Automatic Credit]

☐ Yes ☐ No

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')

☐ Yes ☐ No

Account Statement Requirement

☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly

I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID

☐ Yes ☐ No[illegible]

I / We would like to share the email ID with the RTA

☐ Yes ☐ No

Physical and Electronic

I / We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic
(Tick the applicable box. If not marked the default option would be Physical)

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id		Trading member ID	

***I / We** wish to receive dividend / interest directly in to **my** bank account given below through ECS (if not marked, the default option would be "Yes") [ECS is mandatory for locations notified by SEBI from time to time]

☐ Yes ☐ No

③ First Sole Authorised
Signature

③ Second Sole Authorised Signatory

③ Third Sole Authorised Signatory

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)																			
IFS Code (11 character)																			
Account number																			
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____																		
Bank Name																			
Branch Name																			
Bank Branch Address																			
City						State						Country				PIN code			

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 (ii) Photocopy of the Bank Statement having name and address of the BO
 (iii) Photocopy of the Passbook having name and address of the BO, (or)
 (iv) Letter from the Bank.
 ➤ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details

Gross Annual Income Details	Income Range per annum: <input type="checkbox"/> Up to Rs 1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs.25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000																	
	Net worth as on (Date) DD MM YY Rs																	
	<i>[Net worth should not be older than 1 year]</i>																	
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> . Please provide details as per Annexure 2.2 A.																		
Any other information:																		




SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).																									
	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST																									
	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>																		Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)					
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)																								
Easi	To register for <i>easi</i> , please visit our website www.cdslindia.com . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.																									

⑥ First Sole Authorised Signatory

⑥ Second Sole Authorised Signatory

⑥ Third Sole Authorised Signatory

I/We have **received and** read the **document of 'Rights and Obligation of BO-DP'** (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First Sole Authorised Signatory	Second Sole Authorised Signatory	Third Sole Authorised Signatory
Name			
Designation			
Signature	⑦ 	⑦ 	⑦ 

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

(Signatures should be preferably in black ink).

===== (Please Tear Here) =====

Acknowledgement Receipt

Application No.:

Date:

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	


Depository Participant Seal and Signature

===== (Please Tear Here) =====

Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). [For-non-individual]

Name of holder _____ PAN of the holder _____

Sr.No	Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

 (8) First Sole Authorised Signatory

 (8) Second Sole Authorised Signatory

 (8) Third Sole Authorised Signatory

Name & Signature of the Authorised Signatories Date _____ / _____ / _____ PEP: Politically Exposed Person RPEP: Related to politically Exposed Person

*Reference Communiqué no. CDSL/OPS/DP/POLCY/4305 dated March 12, 2014

DECLARATION

1. I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.
2. I confirm having read / been explained and understood the contents of the documents on policy and procedure of Depository Participant and the tariff sheet.
3. I further confirm having read and understood the contents of the 'Rights and Obligations' documents. I do hereby agree to be bound by such provision as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on Depository Participant designated website, if any.

Place : _____

Date : _____



⑩ Signature of applicant

ANNEXURE : 2.4

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalai Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. "DP" means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. "BO" means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. "SMS" means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.


Availability:


1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.


Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed of the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. receive the alerts then the BO may not get 1 get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Signatures

 _____
 (16) First Sole Authorised Signatory

 _____
 (16) Second Sole Authorised Signatory

 _____
 (16) Third Sole Authorised Signatory

Date: _____

Place: _____

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidential security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous asst misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs, Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID

1	2	0	7	0	3	0	0												
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name

Second Holder's Name

Third Holder's Name

Mobile Number on which messages are to be sent

+91																			
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile without prefixing country code or zero)

The mobile number is registered in the name of:

Email ID:

(Please write only ONE valid email ID on which communication, if any, is to be sent)

Signatures

☒ F10

(17) First Sole Authorised Signatory

☒ S10

(17) Second Sole Authorised Signatory

☒ T10

(17) Third Sole Authorised Signatory

Place:

Date:



GLOBALWORTH
SECURITIES LIMITED
MEMBER: NSE • BSE
DP : CDSL

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 • Website : www.globalworth.in

ANNEXURE : 2.5

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

To,
GlobalWorth Securities LTD.
716, 7th Floor, Neelkanth Corporate Park, Kiroli Road, Near Railway Station, Vidyavihar (West), Mumbai 400 086

Dear Sir / Madam,
I / We hereby state that

[Select one of the options given below]

☐ OPTION 1 :

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account through I / We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Name			
Signatures	(18)	(18)	(18)

OR

☐ OPTION 2 :

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

Name			
Signatures			

(Please Tear Here)

Acknowledgement Receipt

DP ID										Client ID									
Name of the Sole/First Holder																			
Name of Second joint Holder																			
Name of Third joint Holder																			

Depository Participant Seal and Signature

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL**1. Definitions:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the Bos. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any changed in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository dystem, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transactions for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all jint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall registered him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. Bos are advised to check the status of their obligation from time to time and also advise the respective Cms to do so. In case of any issues, the BO/CM should approach their Dps to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any othermode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
 13. Depository reserves the the right to charge such fees from time to time as it deems fit for providing this service to the BO.
 14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO, Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
 15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.


(19) First Sole Authorised
Signature


12

(19) Second Sole Authorised
Signature

(19) Third Sole Authorised
Signature

16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case :-
a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

 20 First Sole Authorised Signatory

 20 Second Sole Authorised Signatory

 20 Third Sole Authorised Signatory

Consent to debit the trading account for the DP charges and the penalties levied in the Demat account

Date: _____

To,
1st Floor, 3, Dedhia House,
Plot No-802 C, Parsi Colony,
Khareghat Road,
Dadar (East), Mumbai – 400 014

Sir,

I/We have a trading account as well as a Demat account with Globalworth Securities Ltd, (herein after refer to GSL). For the convenience of payment of all the charges, pertaining to my demat account, I/We hereby request you to debit my trading account with all the DP account charges, as and when the bill is raised by GSL (Depository Participant),




Further, I understand that in case of any non-compliance of the Bye Laws, Rules and Regulations as laid down by SEBI / Exchanges and/or the Depositories, and for any other matters that may be decided by GSL from time to time, GSL may charge penalty on me. Such penalty amount shall be directly debited to my account, I/We hereby request you to debit my trading account for the amount of per charged in my demat account with you,

My Unique Client Code is _____




My Demat Account no. is

1	2	0	7	0	3	0	0												
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

Your's faithfully

Name				
Specimen Signature of Account Holder	 F11 (21) First Sole Authorised Signatory	 S11 (21) Second Sole Authorised Signatory	 T11 (21) Third Sole Authorised Signatory	

DP ID	1	2	0	7	0	3	0	0	Client ID										
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--	--	--

Name			
Signature	 F11 (22) First Sole Authorised Signatory	 S11 (22) Second Sole Authorised Signatory	 T11 (22) Third Sole Authorised Signatory

**FORMAT OF BOARD RESOLUTION FOR DEMAT ACCOUNT OPENING FOR BODY CORPORATE
(ON THE LETTER HEAD OF THE BODY CORPORATE)**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF _____ HELD ON _____ AT _____

"Resolved that Beneficiary Account be opened in the name of _____ (COMPANY NAME) with GLOBAL WORTH SECURITIES LIMITED. Further following directors/signatories are authorised to operate these account as per the mode of operation mentioned against."

Sr. No.	Name	Designation	Mode of Operation	Specimen Signature

"Resolved further that the above Directors/Signatories be and are hereby authorised to execute all the necessary documents that may be required by the GLOBALWORTH SECURITIES LTD. for opening of the account."

"Resolved further that the above Directors/Signatories be and are hereby authorised to give such undertaking or indemnities as may be required by the GLOBALWORTH SECURITIES LTD. from time to time for the operation of the account."

"RESOLVED FURTHER THAT the above resolution be communicated to the said DP and remain in force until the same is cancelled or modified by the Board of Directors by another resolution and extract whereof forwarded to the DP of the Company, in writing."

Certified to be true

For _____ Pvt. Ltd. / Ltd.

Managing Director / Director / Company Secretary
(Director Should be different from director mentioned in above)

Date :

Place :

N

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


GLOBALWORTH
SECURITIES LIMITED

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. Date of Incorporation d d / m m / y y y y

Place of Incorporation

3. Registration No. (e.g. CIN)

Date of commencement of business d d / m m / y y y y

4. Status Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs
☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation
☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please specify)

5. Permanent Account Number (PAN) (MANDATORY)

Please enclose a duly attested copy of your PAN Card

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village

State

Country

Postal Code

2. Contact Details

Tel. (Off.) (ISD) (STD)

Mobile (ISD) (STD)

E-Mail Id.

Tel. (Res.) (ISD) (STD)

Fax (ISD) (STD)

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

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (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. Registered Address (If different from above)

City / Town / Village

State

Country

Postal Code

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

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (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. Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)

2. Any other information:

DECLARATION

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

**NAME & SIGNATURE(S)
OF AUTHORISED
PERSON(S)** (23)

Place:

Date:

FOR OFFICE USE ONLY

AMC/Intermediary name OR code

☐ (Originals Verified) Self Certified Document copies received☐ (Attested) True copies of documents received

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Name of Applicant

PAN of the Applicant

[illegible]

Date _____

y	x	y
y	y	y
/	/	/
m	m	m
p	p	p



GLOBALWORTH
SECURITIES LIMITED

[illegible]

Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	YES	Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates]	YES	Money Laundering / Pawning	YES	Any other information (if applicable)
		NO		NO		NO	

Entity Constitution Type ☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ AOP/BOI
Please tick as appropriate ☐ Trust ☐ Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ Others specify

Please tick the applicable tax resident declaration -

1. 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.)

Country	Tax Identification Number ²	Identification Type (TIN or Other ² , please specify)

*In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification Number or Global Entity Identification Number.

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

FATCA Declaration

(Please consult your professional tax advisor for further guidance on FATCA classification)

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

1. We are a, Financial institution ⁶ <input type="checkbox"/> or Direct reporting NFFE ⁷ <input type="checkbox"/> <i>(please tick as appropriate)</i>	GIIN Note: 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
GIIN not available <i>(please tick as applicable)</i> <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category ¹⁰ <input type="checkbox"/> Not obtained – Non-participating FI	

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

1.	Is the Entity a <i>publicly traded company</i> ¹ (that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <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 <i>related entity</i> ² of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <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 <i>active</i> ³ NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> (Mention code – refer 2c of Part D)
4.	Is the Entity a <i>passive</i> ⁴ NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____

¹Refer 2a of Part D | ²Refer 2b of Part D | ³Refer 2c of Part D | ⁴Refer 1 of Part D | ⁵Refer 3(vii) of Part D | ¹⁰Refer 1A of Part D

UBO Declaration

Category (Please tick applicable category):

- ☐ Unincorporated association / body of individuals ☐ Listed Company (Need not provide UBO details sought under)
- ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust ☐ Others (please specify _____)

Please list below the details of controlling person(s), covering ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person

#Country - Tax Residency*

#Tax ID No. - Or functional equivalent for each country**

#Tax ID Type - TIN or Other, please specify

Beneficial Interest - in percentage

#Type Code** - of Controlling person

Address - Include State, Country, PIN / ZIP Code & Contact Details

1. Name	Tax ID Type	Address
Country	Beneficial Interest	
Tax ID No.	Type Code	ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: <input type="text"/> Country: <input type="text"/>
2. Name	Tax ID Type	Address
Country	Beneficial Interest	
Tax ID No.	Type Code	ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: <input type="text"/> Country: <input type="text"/>
3. Name	Tax ID Type	Address
Country	Beneficial Interest	
Tax ID No.	Type Code	ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: <input type="text"/> Country: <input type="text"/>

If passive NFE, please provide below additional details.

(Please attach additional sheets if necessary)

PAN	Occupation Type - Service, Business, Others	DOB - Date of Birth
City of Birth	Nationality	Gender - Male, Female, Other
Country of Birth	Father's Name - Mandatory if PAN is not available	
1. PAN	Occupation Type	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	<input type="checkbox"/> Others
2. PAN	Occupation Type	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	<input type="checkbox"/> Others
3. PAN	Occupation Type	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	<input type="checkbox"/> Others

Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

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

** In case Tax Identification Number is not available, kindly provide functional equivalent

Refer 3(iii) of Part D | Refer 3(vi) of Part D | Refer 3(iv) (A) of Part D

FATCA Terms and Conditions

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information filed along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Certification

I have understood the information requirements of this Form read along with the Instructions & Definitions and hereby confirm that the information provided by us on this Form is true, correct, and complete. I also confirm that I have read and understood the FATCA Terms and Conditions above and hereby accept the same.

Name

Designation

Signature >>

(25)

Place

Date

PART D FATCA Instructions & Definitions

1 Financial Institution (FI) - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that has a substantial portion of its business, holds financial assets for the account of others and where the entity's gross income attributable to holding financial assets and related financial services equals to or exceeds 20 percent of the entity's gross income during the shorter of -

(1) The three financial years preceding the year in which determination is made; or

(2) The period during which the entity has been in existence, whichever is less.

- Investment entity is any entity:
 - that primarily conducts a business or operates for or on behalf of a customer for any of the following 3 activities-
 - Trading in money market instruments, foreign exchange, foreign currency, etc.
 - Individual or collective portfolio management
 - Investing, administering or managing funds, money or financial asset on behalf of other persons;

or

- The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

(An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- the period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

- FI not required to apply for GIIN:

A. Reasons why FI not required to apply for GIIN:

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity which is regularly traded on an established securities market;

C. Active NFE : (is any one of the following):

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year or other appropriate reporting period is <i>passive income</i> and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of <i>passive income</i> ;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE is a 'non for profit' organization which meets all of the following requirements: It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; It is exempt from income tax in India; It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

3. Other definitions

(i) Related entity

An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote or value in an entity.

(ii) Passive NFE

The term passive NFE means any NFE that is

- not an Active NFE or publicly traded entity or a entity related to a publicly traded entity
- the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity
- a withholding foreign partnership or withholding foreign trust as defined under the relevant U.S. Treasury Regulations.

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income means the portion of gross income that consists of-

- Dividends, including substitute dividend amounts;
- Interest
- Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amounts received depend in whole or part upon the performance of the pool;
- Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE
- Annuities
- The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in financial assets,
- The excess of foreign currency gains over foreign currency losses
- Net income from swaps
- Amounts received under cash value insurance contracts

But not passive income will not include in case of a non-financial entity that acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as a dealer.

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under the PMLA Rules. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type:

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement--trust-trustee
06	CP of legal arrangement--trust-protector
07	CP of legal arrangement--trust-beneficiary
08	CP of legal arrangement--trust-other
09	CP of legal arrangement--Other-settlor equivalent
10	CP of legal arrangement--Other-trustee equivalent
11	CP of legal arrangement--Other-protector equivalent
12	CP of legal arrangement--Other-beneficiary equivalent
13	CP of legal arrangement--Other-other equivalent

(v) Specified U.S. person – A U.S. person other than the following:

- (a) a corporation the stock of which is regularly traded on one or more established securities markets;
- (b) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (c) the United States or any wholly owned agency or instrumentality thereof;
- (d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (e) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (f) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (g) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (h) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (i) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (j) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (k) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (l) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (m) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non-participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFFE.

(vii) Direct reporting NFFE

A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

Demat Debit and Pledge Instructions (DDPI)

To all to whom these presents shall come, I/We (Put name of BO)_____residing at /having its registered office at _____

_____ send greetings, whereas I/We hold a Beneficiary account number _____ through (Name of DP) Globalworth Securities Limited bearing DP id 12070300 having SEBI registration number IN-DP-CDSL-172-2016. And Whereas I /We am/are an investor engaged in buying and selling of securities through Globalworth Securities Limited, having its registered office at 716, 7th Floor, Neelkanth Corporate Park, Kirol Road, Near Railway Station, Vidyavihar (West), Mumbai -400086, a member of Bombay Stock Exchange Ltd (BSE), National Stock Exchange of India Ltd (NSE), Metropolitan Stock Exchange Exchange (MSE), (SEBI registration number (INZ000177437) The following DP Account numbers for the purpose of this Instructions/authorization are

Demat account of Stock Broker

Name of Exchange	Demat Account Number	Type of Account
BSE	1207030000000060	CDSL PRINCIPAL ACCOUNT
BSE	1207030000000056	CDSL POOL ACCOUNT
NSE	1207030000000041	CDSL POOL ACCOUNT
NSE/BSE	1207030000015873	TM/CM/COMPA
NSEL SLBM	1207030000011636	SLBM POOL
NSE	1100001000018505	EARLY PAYIN ACCOUNT
NSE	IN300095 / 11500155	NSDL POOL ACCOUNT
BSE	1100001100022319	EARLY PAYIN ACCOUNT
BSE	IN300095 / 11506684	NSDL POOL ACCOUNT
BSE/NSE	IN300095 / 12212468	CMTMCM

PURPOSE OF DDPI

1. Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same Stock Broker

	First / Sole Holder	Second Holder	Third Holder
*Specimen Signatures			

2. Pledging / re-pledging of securities in favour of trading member (TM)/ clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.

	First / Sole Holder	Second Holder	Third Holder
*Specimen Signatures			

3.Mutual fund transactions being executed on Stock Exchange order entry platforms			
	First / Sole older	Second Holder	Third Holder
<i>*Specimen Signatures</i>			

4.Tendering shares in open offers through Stock Exchange platforms			
	First / Sole Holder	Second Holder	Third Holder
<i>*Specimen Signatures</i>			

*The same may be signed physically against each purpose of DDPI. The same may also be eSigned .In case of eSign,client shall be given an option for choosing the specific purpose(s) of DDPI.

(Note: In case of HUF all co-parceners should sign.)

Made at _____ on this day of _____

Client (UCC) Code: _____

We hereby agree to execute Instructions in terms of the clauses mentioned and agreed by client.

For Globalworth Securities Limited

Director

DP TARIFF




Particulars	Scheme A	Scheme B
Stamp Duty & Document Charges	Actual	Actual
Account Opening Charges	Nil	Nil
Advance Deposit	Rs. 2,500/-	-
Annual Maintenance Charges	Nil	Rs. 300/-
Debit Transaction (Market Transaction)	Rs. 12/- Per Instruction	Rs. 25/- Per Instruction
Debit Transaction (Off Market Transaction)	Rs. 50/- Per Instruction	Rs. 50/- Per Instruction

Holding For all the above scheme, below given charges are applicable :-

Dematerialisation	Rs 500/- Per DRN
Rematerialisation/Redemption	Rs. 100/- per RRN
Pledge Creation & Confirmation	Rs. 50/- per ISIN
Unpledge Creation & Confirmation	Rs. 50/-
Pledge Invocation	Rs. 50/-
Failed Instruction Charges	Rs. 12/- Per Instruction
Other Charges	Extra Holding Statement : Rs. 10/- Per Page, Slip Book Charges - Rs. 50/- (10 Slip Per Book), Any Modification In Demat Detail - Rs. 100/-
Statutory charges at the time of Account opening	POA Documentation charges at actuals

General Instruction For Applicants

1. Read the form carefully and in case of any queries contact the concerned official of our respective local office.
2. Fill up all the details in the enclosed form/agreement. In case any of the columns are not applicable to you, mention N.A. in that column.
3. Signatures can be in English, Hindi or any of the other languages contained in the 8th schedule of the constitution of India. Thumb impressions and signatures other than in the above mentioned languages must be attested by a magistrate or a notary public/special Executive Magistrate under his/her official seal.
4. Details of the Names, Address and Tel. No. etc. of the Magistrate/Notary Public/Special Executive Magistrate are to be provided in case if any attestation done by them.
5. All the proofs of identity and address should be certified as true. Bring the originals at the time of account opening for verification purpose.
6. Paste a recent passport size photograph in the space provided for in the form and sign across the photograph in a manner where part of the signature is on the photo and other part on the form.
7. In case of additional information, separate annexure should be attached to the application form.
8. Information provided in the bank details should match with the bank proof provided by the client.
9. All correspondence/queries shall be addressed to the first/sole applicant.
10. Where the Demat Account Holder is a minor, person lawfully entitled to act on behalf of the minor should sign the nomination. Further such Demat Account Holder shall be required to complete the formalities related to KYC and other documents on attaining majority.

Sole/First Holder
Second Holder
Third Holder

INTIMATION LETTER

From,

To,
GLOBALWORTH SECURITIES LTD
716 ,Neelkanth Corporate Parks,
Kior Road, Vidyavihar West,
Mumbai - 400086

Dear Sir,

The SEBI has Introduced BSDA Facility for those client who have holding of shares / securities of value below Rs.4, 00,0 00/-SEBI guidelines for BSDA Facility are enclosed for your reference.

Kindly select one of the below options to let us know whether you wish to convert the demat account in BSDA or not.

YES : ☐

NO : ☐

Thanks & Regards,
Globalworth Securities Ltd

Director

We / I Confirm,

 	 	 
_____	_____	_____
Sole/First Holder	Second Holder	Third Holder

SEBI GUIDELINES FOR BSDA FACILITY

Security Exchange Board of India (Sebi) had asked Depository Participants (DPs) to make "Basic Services Demat Account" (BSDA) available for retail investors. As per its circular posted on Sebi's website in August, this move was taken to achieve wider financial inclusion, encourage holding of demat accounts and to reduce the cost of maintaining securities in demat accounts for retail individual investors.

Who can open such accounts: The "Basic Services Demat Account" (BSDA) promises to provide limited services at reduced costs to retail investors. All individual who currently have one account or plan to open an demat account where they are the sole first holder will be allowed to open the BSDA, provided that the value of securities held here will not be more than Rs2 lakh at any given point of time. Keep in mind that you are allowed to open only one BSDA across all

What are the charges: The Annual Maintenance Charges (AMC) which you will have to shell out for BSDA will be as per predetermined slabs. If the value of your holdings is up to Rs 400,000 there won't be any annual maintenance charge. However, if the value of your holding is in between Rs 400,001 to Rs 10,00,000 you will have to pay a fee of Rs 100 as AMC.

Who decides the value: Sebi has entrusted the DPs to determine the value of holding on the basis of the daily closing price or Net Asset Value of the securities or units of mutual funds. Keep in mind that, if the value of your holdings exceeds the slabs mentioned above, DP's are permitted to charge you the same as they charge non- BSDA regular demat accounts.

What about statements: If you choose to avail the electronic statements, you won't have to pay anything. However, for physical statements, DPs have to provide two statements free of cost to you during the billing cycle. But addition statements will be charged a fee, which cannot be more than Rs25. You will get a transaction statement at the end of every quarter, provided there has been at least a single transaction in the quarter. For accounts where there are transactions, you will get an annual statement of holding, as per your choice, that is electronically or physical.

What if you are an existing demat account holder:

If you are an existing eligible individual and hold a demat account with a DP, you can ask the DP to convert your demat account into BSDA on the date of the next billing cycle based on value of holding of securities in the account as on the last day of previous billing cycle.

Other details: These BSDA will also offer SMS alert facility for debit transactions

					
_____		_____		_____	
Sole/First Holder		Second Holder		Third Holder	

Declaration for Common Mobile Number & Email ID

To,
Globalworth securities limited
716, 7th floor, Neelkanth corporate park,
Kiroli road, near railway station,
Vidyavihar west, Mumbai-400086

Date: - _____

Sub – Declaration for Common Mobile Number & Email Id

Ref– Client Code: _____ DP ID: _____ Client ID: _____
MOBILE NO. _____ EMAIL ID: _____

Dear Sir/Madam,

This is with reference to the SEBI circular CIR/MIRSD/15/2011 dated August 02, 2011 and Exchange Circulars NSE/INVG/18503 dated Aug 03, 2011, NSE/INVG/21841 dated October 4, 2012 & NSE/UCIBD/25879 dated February 14, 2014 regarding E mail and SMS alerts to investors and subsequent follow up and clarification circular NSE/INSP/27339 dated Aug 12, 2014 and NSE/INSP/27368 dated Aug 18, 2014.

I am aware that the above information is sought by regulator through you for protection of investors' interest against complaints of unauthorized trading by sending daily intimation through SMS and email for trades executed in our account.

Upon understanding from you that my mobile number/email id is registered with some of the clients who have trading and/or demat accounts with you, I have to state that this is in my full knowledge and I have consented to the below clients who is / are my relative/s to state my mobile number/email id in their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by me of all the SMS/Email belonging to them which are sent by you to me on my above mobile number/email id.

All these below clients also do not have any objection to the same, in consent they have also signed:

S R N O	CLIENT NAME	U C C	DEAMT ACCOUNT 12070300	RELATION	SIGNATURE
1					
2					
3					
4					
5					
6					

However, In Case Of Any Further Regulatory Requirements, I Undertake To Abide upon Hearing From You

Thanking You, Yours

Faithfully,

x _____
First Holder Signature

x _____
Second Holder Signature

x _____
Third Holder Signature

GLOBALWORTH SECURITIES LTD.

716, 7th Floor, Neelkanth Corporate Park, Kiroli Road, Near Vidyavihar Railway Station, Vidyavihar (W), Mumbai-86.
CIN: U67190MH2010PLC201996|Telephone No. 022-6919 0000|Fax No.022-2101 0010

DECLARATION FOR BASIC SERVICE DEAMT ACCOUNT (BSDA)

DP ID: 12070300 CLIENT ID:_____

CLIENT NAME: _____

Please select one of the options given below,

1. I/we wish to open regular demat account
2. I/we wish to open BSDA account
3. I/we wish to opt out of BSDA

First/Sole Holder Sign:_____

Second Holder Sign:_____

Third Holder Sign:_____

DATE: __/__/____



(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

^bTo also include USA, where the individual is a citizen / green card holder of The USA

[%]In case Tax Identification Number is not available, kindly provide its functional equivalent \$

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

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

Nomination Form for Demat Accounts

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *								
Nomination Details								
	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts:

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

☐ Name of nominee(s)

☐ Nomination: Yes / No

2) I hereby authorize _____ (nominee number ____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account or Rs. _____. **(Optional)** (strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.

3) Signature(s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
 - 'Either or Survivor' Accounts - any one of the holder can sign
 - 'First holder' Accounts - only First holder can sign
 - 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%
