



# **GLOBALWORTH**

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## SECURITIES LIMITED

**NSE • BSE • MSEI**

INDIVIDUAL  CORPORATE  LLP  HUF  FIRM  NRI  OTHERS

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

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

## **CLIENT REGISTRATION FORM**

Registered & Corporate Office :

716, 7th Floor, Neelkanth Corporate Park, Kirol Road, Near Railway Station, Vidyavihar (West), Mumbai 400 086  
Tel No:- 022 6919 0000 • Fax No:- 022 2101 0010 • Email : dp@globalworth.in • Website : www.globalworth.in

**ACCOUNT OPENING KIT INDEX**

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Name of Stock Broker/ Trading Member/Self Clearing	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 and Registered Office	716, 7th Floor, Neelkanth Corporate Park, Kirol Road, Near Railway Station, Vidyavihar (West), Mumbai 400 086
Clearing Member Name / CMID	GLOBE CAPITAL MARKET LIMITED / M50302
SEBI Regn. No. & Date	INZ000177137 / 25-APR-2018
Address & Telephone No.	609, ANSAL BHAWAN,16,K.G. MARG, NEW DELHI-110001, TELEPHONE NO : 011-43666400, 30412345
Central Depository Services (INDIA) Ltd. (CDSL)	IN-DP-CDSL-172-2016 (DP ID) 12070300. / 15 MARCH 2011
Compliance Officer Name- Mr. Pankaj Maru	Tel no: 022 69190013/ Email id: compliance@globalworth.in
CEO Name- Mr. Sachin Malde.	Tel no: 022 69190000/ Email id: sachin@globalworth.in

For any grievance /dispute please contact us at the above address or investor@globalworth.in and Tel No: 022 69190000 in case not satisfied with response please contact the investor service cell of Bombay Stock Exchange Limited At is@bseindia.com and Tel No: 91-022-26598490 and/or investor service cell of national Stock exchange of India Limited at ignse@nse.co.in and Tel no: 91-022-22728097 And/or investor service cell of Metropolitan Stock Exchange of India at investorcompliants@msei.in and Tel no: +91-22-61129069.



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (PIO): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
2. PAN card with photograph.
3. Identity card / document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards / Debit cards issued by Banks.

### C. Proof of Address (POA):- List of documents admissible as Proof of Address:

(\*Documents having an expiry date should be valid on the date of submission.)

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

**D. Exemptions / clarifications to PAN**

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities / multilateral agencies exempt from paying taxes / filing tax returns in India.
4. SIP of Mutual Funds upto Rs.50,000/- p.a.
5. In case of institutional clients, namely FIIs, MFs, VCFs, 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:**

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

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

Types of entity	Documentary requirements
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only).</li> <li>• Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF / List of coparceners.</li> <li>• Bank pass-book / bank statement in the name of HUF.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution / registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>

Types of entity	Documentary requirements
<b>Foreign Institutional Investors (FII) Army / Government Bodies</b>	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate.</li> <li>Authorized signatories list with specimen signatures.</li> <li>Self-certification on letterhead.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>List of Managing Committee members.</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

**G. Additional documents in case of trading in derivatives segments - illustrative list.**

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the IFSC Code of the bank should be submitted.*

**H.** Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

**I.** Demat master or recent holding statement issued by DP bearing name of the client.

**J.** For individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

**K.** For Non-individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.



**KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR INDIVIDUAL**

Please fill this form in **English** and in **Block Letters**

Please affix  
your recent  
passport size  
photograph  
and sign  
across it.

<b>A. IDENTITY DETAILS</b>													
Name of the Applicant													
	First Name	Middle Name	Last Name										
Father's/ Spouse Name													
	First Name	Middle Name	Last Name										
Gender :	<input type="checkbox"/> Male	<input type="checkbox"/> Female	Marital Status :	<input type="checkbox"/> Married	<input type="checkbox"/> Single	Date of Birth	<i>D</i>	<i>D</i>	<i>M</i>	<i>M</i>	<i>Y</i>	<i>Y</i>	<i>Y</i>
Nationality	Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National												
PAN					Unique ID No./Aadhaar								

Specify the proof of identity submitted:

<b>B. ADDRESS DETAILS</b>											
Correspondence Address :					<b>Permanent Address :</b> If different from Correspondence or overseas address mandatory for Non-Resident Applicant						
City			PIN			City			PIN		
State			Country			State			Country		
Specify the proof submitted for Correspondence Address						Specify the proof submitted for Correspondence Address					

<b>C. CONTACT DETAILS</b>												
Tel. Resi.				Tel. Off.				Fax				
Mobile				Email								

**DECLARATION**

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.



Signature of the Applicant

Date *D* *D* *M* *M* *Y* *Y* *Y* *Y*

**FOR OFFICE USE ONLY**

(Originals verified) True copies of documents received  (Self-Attested) Self Certified Document copies received

(A)

(Signature of the Authorised Signatory)

Date \_\_\_\_\_

Seal/Stamp of Globalworth Securities Limited

**NON-INDIVIDUAL**
**GLOBALWORTH**  
 SECURITIES LIMITED

**KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON- INDIVIDUAL**

Please fill this form in ENGLISH and in BLOCK LETTERS.

**IDENTITY DETAILS**
**Name of the Applicant :**

 Date of incorporation : 

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

 Place of incorporation :

 Date of commencement of business : 

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

 PAN

**Registration No. (e.g. CIN ) :**

<b>Status (please tick any one):</b>	<input type="checkbox"/> Private Limited Co.	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Partnership
	<input type="checkbox"/> Trust	<input type="checkbox"/> Charities	<input type="checkbox"/> NGO's	<input type="checkbox"/> FI
	<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> AOP.	<input type="checkbox"/> Bank
	<input type="checkbox"/> Government Body	<input type="checkbox"/> Non-Government Organization	<input type="checkbox"/> BOI	
	<input type="checkbox"/> Society	<input type="checkbox"/> Defence Establishment	<input type="checkbox"/> LLP	
	<input type="checkbox"/> Others (please specify) _____			

**ADDRESS DETAILS**

<b>Correspondence Address :</b>				<b>Registered Address :</b> (If different from above):					
City		PIN		City		PIN			
State		Country		State		Country			
Specify the proof submitted for Correspondence Address		Specify the proof submitted for Correspondence Address							
Tel. Off.				Tel. Off.					
Mobile				Mobile					
Tel. Resi.				Tel. Resi.					
Fax				Fax					
Email				Email					

**DECLARATION**

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

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



Signature of Authorised Signatory

 Date : 

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

 (Originals verified) True copies of documents received  (Self-Attested) Self Certified Document copies received

(Signature of the Authorised Signatory)

Date \_\_\_\_\_

Seal/Stamp of Globalworth Securities Limited



**PROMOTERS/PARTNERS/KARTA/TRUSTEES/WHOLE TIME DIRECTORS/  
AUTHORISED SIGNATORIES DETAILS**

<b>Name</b>			
	(First Name)		(Middle Name)
<b>Designation</b>			
<b>Date of Birth</b>	D   D   M   M   Y   Y   Y   Y   Y	<b>Sex :</b> <input type="checkbox"/> Male <input type="checkbox"/> Female	<b>Marital Status :</b> <input type="checkbox"/> Single <input type="checkbox"/> Married
<b>Nationality</b>	PAN		
<b>DIN/UID</b>			
<b>Please tick, if applicable</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)			
<b>Status</b>	<input type="checkbox"/> Resident Indian <input type="checkbox"/> Non-Resident Indian <input type="checkbox"/> Others (Specify) _____		
<b>Home Address</b>			
City	Pin No.		
State	Country		
Tel No.	Mobile		
Fax No.	Email		
<b>Signature :</b>			
Name :			
Date :			
Place :			

(Please affix  
Photograph and  
Sign across)



**PROMOTERS/PARTNERS/KARTA/TRUSTEES/WHOLE TIME DIRECTORS/  
AUTHORISED SIGNATORIES DETAILS**

<b>Name</b>			
	(First Name)		(Middle Name)
<b>Designation</b>			
<b>Date of Birth</b>	D   D   M   M   Y   Y   Y   Y   Y	<b>Sex :</b> <input type="checkbox"/> Male <input type="checkbox"/> Female	<b>Marital Status :</b> <input type="checkbox"/> Single <input type="checkbox"/> Married
<b>Nationality</b>	PAN		
<b>DIN/UID</b>			
<b>Please tick, if applicable</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)			
<b>Status</b>	<input type="checkbox"/> Resident Indian <input type="checkbox"/> Non-Resident Indian <input type="checkbox"/> Others (Specify) _____		
<b>Home Address</b>			
City	Pin No.		
State	Country		
Tel No.	Mobile		
Fax No.	Email		
<b>Signature :</b>			
Name :			
Date :			
Place :			

(Please affix  
Photograph and  
Sign across)



## PROMOTERS/PARTNERS/KARTA/TRUSTEES/WHOLE TIME DIRECTORS/ AUTHORISED SIGNATORIES DETAILS

<b>Name</b>	(First Name)								(Middle Name)				(Last Name)			
<b>Designation</b>																
<b>Date of Birth</b>	D	D	M	M	Y	Y	Y	Y	<b>Sex :</b>	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<b>Marital Status :</b>	<input type="checkbox"/> Single	<input type="checkbox"/> Married		
<b>Nationality</b>									<b>PAN</b>							
<b>DIN/UID</b>																
<b>Please tick, if applicable</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)																
<b>Status</b>	<input type="checkbox"/> Resident Indian <input type="checkbox"/> Non-Resident Indian <input type="checkbox"/> Others (Specify) _____															
<b>Home Address</b>	_____ _____ _____ City _____ Pin No. _____ State _____ Country _____ Tel No. _____ Mobile _____ Fax No. _____ Email _____															
<b>Signature :</b>																
<b>Name</b> :																
<b>Date</b> :																
<b>Place</b> :																
 (Please affix Photograph and Sign across)																

**PROMOTERS/PARTNERS/KARTA/TRUSTEES/WHOLE TIME DIRECTORS/  
AUTHORISED SIGNATORIES DETAILS**

Please Use Additional Sheets If Required



### TRADING ACCOUNT RELATED DETAILS

<b>D. OTHER DETAILS</b>					
Gross Annual Income Details (please specify): Income Range per annum: (Rs. in lacs)					
<input type="checkbox"/> Below 1	<input type="checkbox"/> 1 to 5	<input type="checkbox"/> 5 to 10	<input type="checkbox"/> 10 to 25	<input type="checkbox"/> Above 25	
OR					
Net-worth as on date		Rs.	(Net worth should not be older than 1 year)		
<b>Occupation</b> (please tick any one and give brief details):	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Business	<input type="checkbox"/> Student
	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Others
Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)					
Any other information :					

<b>E. BANK ACCOUNT (S) DETAILS</b>					
Bank Name					
Branch Address					
Bank Account No.					
Account Type	Savings/Current / Others - in case of NRE/NRO			Savings/Current / Others - in case of NRE/NRO	
MICR No.					
IFSC Code					
Please provide cancelled cheque leaf for MICR & IFSC Code					

Please Use Additional Sheets If Required

<b>F. DEPOSITORY ACCOUNT(S) DETAILS</b>					
DP Name					
DP ID					
Client ID					
Depository	NSDL / CDSL			NSDL / CDSL	
DP Address					

Please Use Additional Sheets If Required

### G. TRADING PREFERENCE

\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

<b>Exchanges</b>	<b>NSE, BSE &amp; MSEI</b>				<b>MCX, NCDEX, BSE &amp; NSE</b>
All Segments	<b>Cash / Mutual Fund</b>	<b>F&amp;O</b>	<b>Currency</b>	<b>Debt</b>	<b>Commodity Derivatives</b>
➤	➤	➤	➤	➤	➤
<b>If you do not wish to trade in any of segments / Mutual Fund, please mention here</b>					

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.



Signature of the Applicant



#### H. PAST ACTIONS

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

#### I. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name:			
Registered office address	NSE SEBI Regn. No.:		
	BSE SEBI Regn. No.:		
	MSEI SEBI Regn. No. :		
	Tel.:		
	Fax:		
	Website:		

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details

Name of stock broker:	Name of sub-stock broker:
Client Code:	Exchange:
Details of disputes/dues pending from/to such stock broker/sub-broker:	

#### J. ADDITIONAL DETAILS

• Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (Please specify):	<input type="checkbox"/> Electronic Contract Note <input type="checkbox"/> Physical
• Specify your Email Id, if applicable: Primary email Id	
	Secondary email Id
• Whether you wish to avail of the facility of internet trading/wireless technology (please specify):	<input type="checkbox"/> Yes <input type="checkbox"/> No
• Number of years of Investment/Trading Experience:	
• In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others (Please Provide in a Separate Sheet):	
• Any other information:	

#### K. INTRODUCER DETAILS (optional)

Name of the Introducer	
Status of the Introducer:	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify _____
Address and Tel No. of the Introducer	
Introducer's Signature	(I)

#### DECLARATION

- 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.
- I confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.

Place \_\_\_\_\_



Date \_\_\_\_\_

Signature of the Applicant / Authorised Signatory(ies)



**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : .....

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

*I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.*

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**Signature of the Authorised Signatory**

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

Seal/Stamp of Globalworth Securities Limited



## RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

## CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on

winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.

10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

## MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

## TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of



the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

## **BROKERAGE**

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

## **LIQUIDATION AND CLOSE OUT OF POSITION**

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's

liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment / delivery and related aspects by a client. In case where defaulting client is a corporate entity / partnership / proprietary firm or any other artificial legal entity, then the name(s) of Director(s) /Promoter(s) / Partner(s) / Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

## **DISPUTE RESOLUTION**

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on



the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

## TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

## ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile

and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure



compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

### **ELECTRONIC CONTRACT NOTES (ECN)**

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules / regulations / circulars/guidelines issued by SEBI / Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client

within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

### **LAW AND JURISDICTION**

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses / document added by the stock broker should not be in contravention with rules / regulations / notices/circulars of Exchanges / SEBI. Any changes in such voluntary clauses / document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges / SEBI shall also be brought to



the notice of the clients.

48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all

orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username /password / account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username /password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.



## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing

Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

### 1. **BASIC RISKS:**

#### 1.1 **Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

#### 1.2 **Risk of Lower Liquidity:**

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price

difference or may not be executed at all.

**1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

**1.3 Risk of Wider Spreads:**

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

**1.4 Risk-reducing orders:**

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

**1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

**1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract

reaches the pre -determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

**1.5 Risk of News Announcements:**

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

**1.6 Risk of Rumors:**

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

**1.7 System Risk:**

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

**1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

**1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

**1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or



system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

**2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-**

**2.1 Effect of "Leverage" or "Gearing":**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

**A.** Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

**B.** If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

**C.** Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

**D.** In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

**E.** You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

**2.2 Currency specific risks:**

**1.** The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

**2.** Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

**3.** Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

**2.3 Risk of Option holders:**

**1.** An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting



asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

#### **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination

transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

#### **3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:**

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

#### **4. GENERAL**

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.



## **BEFORE YOU BEGIN TO TRADE**

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.exchange.com](http://www.exchange.com) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

## **TRANSACTIONS AND SETTLEMENTS**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is

available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.

13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds / securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
  - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock



exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

#### **DISPUTES / COMPLAINTS**

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division / compliance officer exclusively for the purpose of registering complaints.



## POLICIES AND PROCEDURES

The document outlines various policies and procedures framed and followed by Globalworth Securities Limited (GLOBALWORTH) with respect to its dealing with its clients as a stock broker on National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd (BSE) and MSEI Stock Exchange Limited (MSEI) (collectively hereinafter referred to as "the Exchanges"). The policies and procedures as stated herein below are subject to change from time to time at the sole discretion of GLOBALWORTH, depending upon regulatory changes its risk management framework, other market conditions, etc.

### a. Refusal of order for penny stock

Following types of scrips will come under Penny stock if it falls in any one category as mentioned below as part of the due diligence and risk management policy of GLOBALWORTH.

1. Scrip which are quoting at less than Rs.10/- on any of the Exchanges.
2. Scrips appearing in the list of illiquid securities issued by the Exchanges periodically.
3. Securities forming part of Trade-to-Trade settlement.
4. Securities forming part of Z group.
5. Scrips on which Exchange VaR is more than 50%.
6. Scrips whose average daily volume is less than 15000 shares (collectively for all Exchanges) in last seven days.
7. Any Securities which in the opinion of GLOBALWORTH is likely to be a Penny Stock.

Trading in Penny stocks may be allowed to clients at the sole discretion of GLOBALWORTH. Also GLOBALWORTH may restrict the quantity / amount which a client may be allowed to buy / sell the penny stock. If the client wants to purchase Penny stocks then GLOBALWORTH may insist upto 100% advance payment / sufficient clear ledger credit balance and similarly if client wishes to sell Penny stock, then GLOBALWORTH may insist that shares should be first transferred to beneficiary demat account of GLOBALWORTH. Under no circumstances, GLOBALWORTH shall be held responsible for non-execution / delay in execution of such orders and consequential opportunity loss or financial loss to the client.

### b. Setting up client's exposure limits

#### Cash Segment

- Exposure based and / or Margin based limits will be given to the clients for doing trades in

#### Cash Segment.

- Limits will be given on the basis of credit balance and / or collateral /securities of the client available with GLOBALWORTH valued after hair cut.
- Exposure based limit may be given to the client in certain multiples (multiples times may be decided by GLOBALWORTH at its sole discretion from time to time) on the available credit balance and / or on the collateral / securities of the client available with GLOBALWORTH valued after hair cut. However, on case to case basis the excess limits may be allowed.
- Margin based limit may be given to the client on the applicable VaR as may be decided by GLOBALWORTH from time to time on the available credit balance and / or on the collateral / securities of the client available with GLOBALWORTH valued after hair cut. However on case to case basis the excess limits may be allowed.
- Securities shall be valued after appropriate hair cut based on the type of scrips, nature of scrip, liquidity, volatility of scrip, etc. from time to time.

GLOBALWORTH may at its sole and absolute discretion allow clean exposure limit up to certain amount to the client without insisting for any credit balance and / or margin. The quantum of clean exposure limit shall be decided by GLOBALWORTH. On a case-to-case basis GLOBALWORTH may, at its sole and absolute discretion, give higher clean exposure limits to certain set of the clients. GLOBALWORTH reserves the right to withdraw clean exposure limit granted to the client at any point of time at its sole and absolute discretion. The client cannot and shall not raise any concern / dispute for the same and under no circumstances, GLOBALWORTH shall be held responsible for alleged / consequential opportunity loss or financial loss to the client.

#### Derivatives Segment

- Margin based limits will be given to the clients for doing trades in Derivatives Segment.
- Limits in Derivatives Segment will be given on the basis of free credit balance and / or collateral / securities of the client available with GLOBALWORTH valued after hair cut.
- Securities shall be valued after appropriate hair cut based on the type of scrips, nature of scrip, liquidity and volatility of scrip, etc. from time to time.



- A client will be normally allowed limits till the client has free credit balance and / or collateral / securities valued after hair cut. In case of excess limit is availed, the same will be regularized by the end of trading session / day. However on case to case basis the excess limit may be allowed to be carried forward.

GLOBALWORTH may from time to time depending on market conditions, profile and history of client, type and nature of scrip, etc., may at its sole discretion change the rate of haircut applicable on the securities / collaterals, number of times the limits to be given in Cash and / or Derivatives segments and take such steps as GLOBALWORTH may deem necessary.

#### **c. Applicable Brokerage Rate**

The brokerage rate applicable on clients trades will be as per agreed rates as mentioned in the Tariff Schedule at the time of opening the client trading account. Any higher brokerage will be levied only if agreed in writing between GLOBALWORTH and the client or by advance notice of 15 days by GLOBALWORTH to the client. If the client has any grievances' regarding the rate of brokerage charged then he should intimate the same to GLOBALWORTH within reasonable time of receipt of the contract note / confirmation memo / bill.

**The brokerage rate at no point of time will exceed the rates as may be specified by the Exchanges / SEBI from time to time.**

Unless otherwise agreed the brokerage will be exclusive of the levies / charges as mentioned in the Tariff Sheet.

#### **d. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period.**

In case of delay in payment by the client to GLOBALWORTH on its due date, GLOBALWORTH in respect of such delayed payment will be entitled to recover late / delayed payment charges from due date. The said delayed payment shall include amounts payable by the client to GLOBALWORTH in respect of initial margin, mark to market, shortfall of margin(s) in prescribed modes, and / or other margins and pay-in obligations. Late payment charges will be levied @2.5% per month or a part of month on delayed payment for the delayed period. The trade of the client may not be executed by GLOBALWORTH if the client does not clear dues along with delayed payment charges. The client will not be entitled to any interest on the credit balance / excess margin available / kept with GLOBALWORTH.

A delayed payment charge is applied to act only as a deterrent measure. The client should not construe it as funding arrangement. The client cannot demand continuation of service on a continued basis citing levy of delayed payment charges. Further where the GLOBALWORTH has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the order / trades / deal / actions of the client, the same will be borne by the client.

#### **e. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues.**

The client is required to pay adequate margin / pay-in obligations in full and to ensure that the required margin / pay-in obligations is made available to GLOBALWORTH in such form and such manner as may be required by GLOBALWORTH from time to time. The client shall fulfill all its obligations / liabilities / dues to GLOBALWORTH, failing which GLOBALWORTH has the right not the obligation to square up all or any outstanding position and / or take offsetting positions and / or sell the margin / securities available with GLOBALWORTH without giving any notice to the client. GLOBALWORTH may also square up all or any outstanding position and / or sell the securities / collateral available with GLOBALWORTH as a part of risk management at any time without giving any notice to the client. In case of purchase on behalf of client, the GLOBALWORTH may close out its transactions by selling securities, in case the Client fails to make full payment to GLOBALWORTH for the same before the time intimated by GLOBALWORTH. In case of sale on behalf of client, the GLOBALWORTH may close out its transaction by purchasing the securities. The client shall be liable for any losses, costs and be entitled to any surplus, which may result from the above.

#### **f. Shortages in out of internal obligations arising netting of trades**

##### **i.) POLICY ON HANDLING OF CLIENT'S SECURITIES**

1. Entire securities received in payout shall be transferred to the client's BO account by the broker if the total amount outstanding from the client is realized in full by way of receipt of clear funds, but considering the future obligation of unsettled transactions and margin payable on the same.



2. In case of partial payin of funds received from client, all the securities shall be retained by the broker. However, based on client instruction, excess securities may be transferred to client BO account, subject to retention of securities (after applying hair cut) as collateral for the amount outstanding.

3. For clients availing limit against its DP holding, the broker may move the securities from the client's BO account through POA to the "Client Collateral account", on the basis of client's outstanding obligation. Broker may pledge /transfer the said securities to clearing corporation/ clearing member. Any trading loss/ MTM/ buy option and/or other obligation which is not settled within 5 trading days will be recovered by selling securities out of such client's collateral available with the broker.

4. Excess collateral held in "Client Collateral" account will be released to the clients once in every 30/90 days as opted by clients through the Running Account Authorization letter provided in the client registration document and in accordance with the retention norms of Exchanges as applicable from time to time.

5. The Broker may, however, at its discretion, transfer the unpaid securities to Client's BO account in case the client is having BO account with the brokers DP division and has executed POA of the demat account for transferring securities against obligation, in to the broker pool account

6. Internal Shortage means one client has failed to give the delivery of the securities sold, which has resulted into short delivery to other client(s). In such an event, the transaction shall stand closed out by adopting following methodology:-

• Closing price of securities as on T+2 day plus 2%.

### Square off policy

1. Open positions in CM segment may be squared off on T+7 days in either of following circumstances (not applicable for MTF clients) to the extent of due debit and unsettled obligation amount if Ledger Account is in debit for 5 continuous days and Payment is not realised by the T+6th day, Or Securities remain unpaid on clear fund basis for T+7 days.

2. In case of square off, securities available in unpaid securities account/client collateral account(s) may be sold proportionate to the outstanding amount or based on liquidity/ depth in market.

3. No fresh exposure will be allowed on square off day unless on receipt of clear funds.

Ledger balance for all purposes will be considered on the basis of realised balance excluding unclear cheque credit.

**g. Conditions under which a client may not be allowed to take further position or GLOBALWORTH may close the existing position of a client.**

Under the following conditions GLOBALWORTH will not allow the client to take further positions or GLOBALWORTH may close the existing position of a client:-

- 1) Insufficient / inadequate margin(s) and / or insufficient / inadequate free credit balance available with GLOBALWORTH.
- 2) Scrips / stocks falling in Penny Stocks in clause (a) above.
- 3) Illiquid contracts / options.
- 4) Trades which apparently in the sole and absolute discretion of GLOBALWORTH seems to be Synchronized trades / Circular trading / Artificial trading / manipulative in nature, etc.
- 5) Scrips banned by Regulatory authorities.
- 6) Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges and other regulatory authorities [where the information available for the debarred entity (other than name) is not sufficient enough to establish that the client and such debarred entity are one and the same.]
- 7) The client fails to furnish documents / information as may be called for by GLOBALWORTH from time to time as per regulatory requirement and / or as per its internal policy.
- 8) In the event of death or insolvency of the client or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which he has ordered to be bought or sold.

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In addition to the above GLOBALWORTH can also close position of the client in case the client fails to pay his / her obligation / dues before pay in schedule of the exchange and / or as demanded by GLOBALWORTH. Depending on the market circumstances if GLOBALWORTH is of the view that the positions of the clients are / will be at risk then GLOBALWORTH may close the existing position without waiting for the pay in schedule of the exchange.



#### **h. Temporarily suspending or closing a client's account at the client's request**

At the written request of the client, the trading account will be suspended / closed. In case client request for closing the account then the client's funds and securities due to / from client will have to be settled at the earliest. Also the client will give a confirmation of no dues (funds and securities) to GLOBALWORTH. Only after the settlement of funds and securities the clients account will be closed. If a client wishes to resume trading then client has to give a written request to GLOBALWORTH for the same. In case after closing of account client wishes to resume trading with GLOBALWORTH then fresh KYC formalities will be done.

#### **i. Deregistering a client.**

GLOBALWORTH may at its sole discretion deregister a client without giving any specific reason. Necessary communication will be done by GLOBALWORTH to client in writing or by email. On giving the intimation to deregister, the client's funds and securities, if any, will be settled at the earliest. The client will be given necessary notice period as required by the SEBI/Exchanges from time to time.

Due to de-registration, GLOBALWORTH shall have the right to close out the existing open positions / contracts, sell / liquidate the margin (in any form) to recover its dues, if any before de-registering the client. Any action taken by GLOBALWORTH in terms of this policy shall not be challenged by the client, and GLOBALWORTH shall not be liable to the client for any actual loss or damage, which may be caused to the client as a result. Also while de-registering the client, GLOBALWORTH may retain certain amount / securities due / belonging to the client for meeting any liability, penalties, etc. arising out of dealing of the client with GLOBALWORTH. In case if any securities retained by GLOBALWORTH is sold / liquidated to recover any such losses, liability, penalties, etc., GLOBALWORTH shall have the sole authority to decide the scrip, the mode, manner and the price at which to effect the sale of securities and the client cannot raise any dispute as to the manner, mode and the price at which the securities are sold by GLOBALWORTH.

In any of the above circumstances, if the client is able to justify his / her, circumstances / reasons either by producing any record, document or otherwise the full satisfaction of GLOBALWORTH, then the GLOBALWORTH may reconsider its decision of de-registering the client.

#### **J. Policy for inactive client**

GLOBALWORTH as a matter of policy accepts and realizes that the investor community is made of traders as well as investors. Whereas traders trade frequently, the investors trade with long gaps. The inactive client policy is framed keeping the same in Mind:

##### **What happens when a client is declared inactive?**

On a client being declared inactive,

1. All the securities of the client are transferred into the last known demat account of the client.
2. All the funds of the client are returned to the client.
3. In case the demat account/ bank account details are not available and the client is not contactable, the securities/ funds are transferred into a separate account of GLOBALWORTH and held till such time GLOBALWORTH hears from the client or their representatives.
4. Trading in the client account is stopped.

##### **Client declared inactive voluntarily**

A client may write to GLOBALWORTH stating that he wishes to transfer his "inactive" account into an status, based on which the account will be marked as such.

##### **Client declared inactive by passage of time**

Any client who has not traded continually for a period of 1 years and has also not renewed his running account authorization for 1 continuous years will automatically be moved to the "inactive" category.

##### **Client declared inactive by law**

Any client will be moved to the "inactive" category if required by law.

##### **Procedure to activate the client**

To reactivate the account, the client is expected to write to GLOBALWORTH requesting for activation of the account, based on which the account would be activated after due diligence by GLOBALWORTH

This policy has been adopted by GLOBALWORTH on October 15, 2010 and may have been revised over time.

## RIGHTS AND OBLIGATIONS DOCUMENT FOR SLBS

- i. The Securities and Exchange Board of India (“**SEBI**”) has formulated and issued the Securities Lending Scheme, 1997 (“**SEBI Scheme**”) and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20<sup>th</sup> December 2007 for facilitating lending and borrowing of securities through an “Approved Intermediary” registered with SEBI.
- ii. The NSE Clearing Limited is an Approved Intermediary (“**AI**”) registered under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI issued from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as “**SLBS**”) for facilitating lending and borrowing of securities through persons registered as “Participants”.
- iii. SEBI, thereafter, vide its Circular No. CIR/NRD/DP/19/2014 dated June 3, 2014 (“**SEBI Circular**”) has modified the framework of Securities Lending and Borrowing. Under the said SEBI Circular, AI shall enter into an agreement with its Clearing Member/Participant (“**Agreement**”) for the purpose of facilitating Securities Lending and Borrowing and which shall specify the rights, responsibilities and obligations of the AI and the Clearing Member/Participant (“**Participant**”). The said Agreement shall also define the exact role of AI/Participant vis-à-vis the Client of Participant. As per the said SEBI Circular, AI is also required to frame rights and obligations document laying down the rights and obligations of the Participant and its Client for the purpose of Securities Lending and Borrowing. The said rights and obligations document shall be mandatory and binding on the Participant. Accordingly, the AI has framed this rights and obligations document laying down the rights and obligations of Participant as well as of its Client (“**Rights & Obligations Document**”).
- iv. Securities Lending and Borrowing can be undertaken by the Participant either on their own account or on account of its Client registered with them. Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by submitting duly signed relevant documentation/s to the Participant that it is desirous of participating in the SLBS. The Participant on the receipt of said relevant documentation/s from its Client, shall provide this Rights & Obligations Document to its Client which will be duly acknowledged by the Client of having read, understood and to agreeing to abide by the same prior to the execution of trade in the SLBS. The terms and conditions of this Rights & Obligations Document shall be binding on the Participant as well as on its Client.
- v. All the transactions under the SLBS by the Client shall be strictly in accordance with SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued there under and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued there under and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement and this Rights & Obligations Document, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued there under, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation and the terms and conditions of the said Agreement shall prevail over this Rights & Obligations Document. The provisions of this Rights & Obligations Document are in addition thereto and not in derogation thereof.

- vi. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant's liability towards the Client under SLBS including any limitations on the liability and the capacity in which the Participant acts.
- vii. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued there under, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the rights and obligations of the Participant as well as its Client shall be hereto as under.
- viii. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made there under respectively or Circulars of SEBI or SLBS and the Circulars issued there under and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

#### RIGHTS OF THE PARTICIPANT

- ix. In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.
- x. Margins  
The Participant is empowered to call upon its Client to pay such margins as may be specified by the AI from time to time.
- xi. Recovery  
The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities / obligations.

#### OBLIGATIONS OF THE PARTICIPANT

- xii. The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.
- xiii. Issue of Confirmation Memo  
The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.
- xiv. Money / Securities to be kept in separate account  
The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued there under and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation and as in force from time to time.

xv. Update on Settlement Process

The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.

xvi. Compliance with Know Your Client Norms

The Participant undertakes to maintain the “Know Your Client” details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.

xvii. Reconciliation of Account

The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.

xviii. Return of Securities and Lending Fees

Where the Client is a lender unless otherwise agreed upon between the Participant and the Client -

- a) The Participant shall ensure the return of securities to the Client by transferring the same to the Client’s account within such time as may be prescribed by the AI.
- b) The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.

xix. Delivery of Securities

Where Client is a borrower unless otherwise agreed upon between the Participant and the Client –

The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client’s account within such time as may be prescribed by the AI.

## RIGHTS OF THE CLIENT

xx. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client -

- a) The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
- b) The Client shall be entitled to receive lender’s fee for the securities lent.

xxi. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client -

- a) The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
- b) The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.

xxii. Notwithstanding any other provisions of the said Agreement and this Rights & Obligations Document, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued there under.

## OBLIGATION OF THE CLIENT

xxiii. Abide by Law & Acquaintance to Law

The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued there under from time to time, and the terms and conditions of the said Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.

xxiv. Update & Comply with the Settlement Process

Notwithstanding anything contained in Clause 15 hereto, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.

xxv. Processing Charges

The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued there under from time to time.

xxvi. Change in Client Registration Form

The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the details provided by the Client to the Participant at the time of its registration with the Participant and also as provided in the said relevant documentation/s required for participating in SLBS.

xxvii. Authorised Representative

The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.

xxviii. Return of Securities

The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.

xxix. Payment of Margins

The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.

xxx. Exposure / Position Limits

The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.

xxxi. Securities lent to be Unencumbered

The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.

xxxii. **Collateral**

At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

xxxiii. **Insolvency**

The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

xxxiv. **Cancellation of Transactions**

Notwithstanding anything contained in the said Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

xxxv. **Discontinuation of SLBS and Participation in SLBS**

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

## **ARBITRATION**

xxxvi. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

xxxvii. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued there under.

## **GOVERNING LAW AND JURISDICTION**

xxxviii. In relation to any legal action or proceedings to which the AI is a party, the Participant as well as the Client irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

xxxix. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

## **FACILITY OF VOLUNTARY FREEZING/BLOCKING OF TRADING ACCOUNTS**

### **Introduction**

SEBI vide its circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 mandated Stock Brokers to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients on account of suspicious activities. This policy outlines the procedures for voluntary freezing of trading accounts for clients of Globalworth Securities Ltd. in accordance with SEBI & Exchange Circulars.

### **Scope of Policy**

This policy shall be applicable as and when clients require to freeze / block online access to their trading account and subsequently desires to unfreeze the same.

### **Procedure to Freeze Online Trading Account**

Client may request for voluntary freezing / blocking the online access to their trading account through any one of the following modes that shall be made –

Email to dedicated email id: [stoptrade@globalworth.in](mailto:stoptrade@globalworth.in)

SMS to dedicated mobile number: 7977686096

Mobile Applications: once the feature is developed & incorporated

Web Trading Platform (WTP): once the feature is developed & incorporated

On receipt of such request, the online access of the client's trading account shall be freezed/blocked and simultaneously all the pending orders including 'Good till date' and Equity SIP orders shall be cancelled.

Post freezing/blocking the client's trading account, a communication shall be sent on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked. The communication shall also provide the details of all pending orders (whether placed online or offline by the client) in the client's trading account, that have been cancelled along with the process of re-enablement for getting the online access to the trading account.

Details of open positions (if any) shall also be communicated to the client along with contract expiry information within an hour of freezing the account.

Once the online access of the trading account is freezed then such client may place orders through alternate channels such as call and trade.

Upon freezing, the client will be logged out of the app but can log in to access the account in frozen state, although trading or profile modification options will be blocked. It is recommended to change the login PIN immediately after freezing the account.

### **Process for request for Un-freezing**

To unfreeze the account, clients can send us an email at [rms@globalworth.in](mailto:rms@globalworth.in) followed by a phone call informing about the same from their registered email id & mobile numbers only.

On successful reactivation client shall be able to place the orders

### **Review of policy**

This policy will be reviewed as and when required or on an annual basis.



Signature of the applicant

## **Most Important Terms and Conditions (MITC)**

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

 SIGNATURE OF THE APPLICANT

## TARIFF SHEET

### CASH SEGMENT

Brokerage Slab	Slab %	Minimum Paise	One Side / Both Side
Delivery Based			
Daily Square up			

### EQUITY DERIVATIVES SEGMENT

Brokerage Slab	Slab %	Minimum Paise / Per Lot	One Side / Both Side
Future			
Option			

### CURRENCY DERIVATIVES SEGMENT

Brokerage Slab	Slab %	Minimum Paise / Per Lot	One Side / Both Side
Future			
Option			

### OTHER LEVIES AS PREVALENT FROM TIME TO TIME :

1. Service Tax.
2. Stamp Duty.
3. Exchange Transaction.
4. SEBI Turnover fees.
5. Securities Transaction Tax (STT)



Signature

Date :

Dear Sir,

**Sub.: Letter of Authority / Request to Globalworth Securities Limited**

I, the undersigned, have opened the client / constituent account with Globalworth Securities Limited (herein referred to as "GLOBALWORTH") for trading / dealing in securities on the Bombay Stock Exchange Limited (BSE) and / or National Stock Exchange of India Limited (NSE) and / or MSEI Stock Exchange Limited (MSEI). In respect of my dealing / account with you, I hereby request / instruct and authorized GLOBALWORTH to do the followings:

1. To maintain a running account instead of settlement of my trade related financial debits/credits on a bill-to-bill basis.
2. Any excess securities available in your Client Collateral / Collateral account will be released to me/us along with funds settlement after making necessary retention as may be permitted by regulators Accordingly our policy with regards to handling of client's securities & squaring off positions in the event of non-payment is also enclosed as an Annexure –1.
3. To hold payout of funds / credit in my account and pay to me only to the extent demanded by me. To use / adjust the credit balance available from time to time in my account(s) for my exposure / trading limits / margin requirements / other dues.
4. However, I prefer to settle the account on following basis :

Quarterly		Monthly	
-----------	--	---------	--

5. To debit / credit / transfer of amounts, either on same Exchange and / or between various segments of the same exchange and / or between the exchanges across various segment to meet my debit balance or various dues payable to GLOBALWORTH/ Exchanges.
6. To transfer credit / debit balance from mark to mark to market and / or premium account to margin account and vice versa.

Further, I reserve my right to withdraw the above instructions at any time. In such event, I undertake to inform you in writing and such communication shall be addressed to the above address.

Client's Signature    : 

Name of the Client :

Client Code :

(To be signed by client only & not his Power of Attorney)

Dear Investor!!

**Subject: Prevention of Money Laundering**

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden.

It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti-money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities & Exchange Board of India (SEBI), which includes a stockbroker, depository participant, portfolio manager, sub-broker and any other intermediary associated with securities market.

As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

### DECLARATION BY FIRM (SOLE PROP.)

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

Client Name : \_\_\_\_\_

To, \_\_\_\_\_  
GLOBALWORTH SECURITIES LIMITED

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

Dear Sirs,

I refer to the trading account opened with you in the name of \_\_\_\_\_ and declare and authorize you as under.

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account no. : \_\_\_\_\_ with depository \_\_\_\_\_ opened in the name the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchases and / or sold by the firm will be handled and completed through transfers to from the above mentioned account. I recognize and accept transfers made by you in respect of trades executed in the above trading account of the firm.

\_\_\_\_\_

**Signature (Please sign with Stamp of the firm)**

### DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM

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

Client Name : \_\_\_\_\_

Address : \_\_\_\_\_

To, \_\_\_\_\_  
GLOBALWORTH SECURITIES LIMITED  
716, 7th Floor, Neelkanth Corporate Park, Kiroli Road,  
Near Railway Station, Vidyavihar (West), Mumbai 400 086

Dear Sirs,

We refers to the trading account opened with you in the name of \_\_\_\_\_ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a Partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no. : \_\_\_\_\_ with depository \_\_\_\_\_ opened as joint account in the name partners of the firm as the demat account of the firm.

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

\_\_\_\_\_

**Signature by all Partners of the firm.**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS / TRUSTEES OF \_\_\_\_\_ LTD. / TRUST AND HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_ HELD ON \_\_\_\_\_ DAY OF \_\_\_\_\_ 2000 \_\_\_\_\_ AT \_\_\_\_\_ AM / PM.

"RESOLVED THAT the Company /Trust be registered as Client with **GLOBALWORTH SECURITIES Ltd.** Member of Bombay Stock Exchange Limited (BSE), National Stock Exchange of India Ltd. (NSE) and MSEI Stock Exchange Limited (MSEI) at Cash & Derivatives Segments, for the purpose of dealing in equities, derivatives, debentures, debts and other products and the said Member be and is hereby authorised to honour instructions oral or written, given on behalf of the Company/Trustee by any of the following authorised signatories:

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

who are authorised to sell, purchase, transfer, endorse, negotiate and / or otherwise deal with / Through **GLOBALWORTH SECURITIES LIMITED** on behalf of the Company / Trust.

RESOLVED FURTHER THAT Mr. \_\_\_\_\_ and / or Mr. \_\_\_\_\_ Directors / Trustees of the Company / Trust be and are hereby authorised to sign, execute and submit such applications undertaking, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT all the Directors would have authority to act on behalf of the Company and actions of any directors will be binding on the Company.

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of any one / two Directors of the Company and Company Secretary who shall sign the same in token of their presence."

Certified true copy

For \_\_\_\_\_

Chairman / All Trustees

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

#### **HUF DECLARATION**

To,

**GLOBALWORTH SECURITIES LIMITED**  
716, 7th Floor, Neelkanth Corporate Park, Kirol Road,  
Near Railway Station, Vidyavihar (West), Mumbai 400 086

Dear Sir,

I hereby request you to open our trading account with you, for our HUF.

Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. \_\_\_\_\_

SR. NO.	NAME OF FAMILY MEMBERS	RELATIONS	DATE OF BIRTH
1.			
2.			
3.			
4.			
5.			
6.			
7.			

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,

**(X)**

Karta

(Affix Stamp of HUF)



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for amin or, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

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

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FILs, Mfs, 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:

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



PAN* <input type="text" value="XXXXXXXXXXXXXX"/>	Name <input type="text" value="XXXXXXXXXXXXXX"/>						
Type of address given at KYC KRA	<input type="checkbox"/> Residential	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Of ce	<input type="checkbox"/>		
City of incorporation	<input type="text" value="XXXXXXXXXXXXXX"/>						
Country of incorporation	<input type="text" value="XXXXXXXXXXXXXX"/>						
Net Worth in INR. In ₹ Lakhs	<input type="text" value="XXXXXXXXXX"/>		Net Worth as on	<input type="text" value="XXXXXXXXXX"/>			
DD / MM / YYYY							
(Date should not be older than one year)							
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 <input type="checkbox"/> Partnership Firm <input type="checkbox"/> HUF <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society <input type="checkbox"/> AOP/BOI							

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 <sup>%</sup>	Identification Type (TIN or Other <sup>%</sup> , 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)

**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> <sup>1</sup> (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> <sup>2</sup> 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> <sup>3</sup> 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="checkbox"/> (Mention code – refer 2c of Part D)
4.	Is the Entity a <i>passive</i> <sup>4</sup> NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____

<sup>1</sup>Refer 2a of Part D | <sup>2</sup>Refer 2b of Part D | <sup>3</sup>Refer 2c of Part D | <sup>6</sup> Refer 1 of Part D | <sup>7</sup> Refer 3(vii) of Part D | <sup>10</sup> Refer1A of Part D

## UBO Declaration

<b>Category</b> (Please tick applicable category):	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership Company
<input type="checkbox"/> Unincorporated association / body of individuals	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust	<input type="checkbox"/> Private Trust
<input type="checkbox"/> Listed Company (Need not provide UBO details sought under)		<input type="checkbox"/> Others (please specify _____)	

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

Owner-documented FFI's<sup>5</sup> should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

<b>Name - Beneficial owner / Controlling person</b> <b>#Country - Tax Residency*</b> <b>#Tax ID No. - Or functional equivalent for each country*</b>	<b>#Tax ID Type - TIN or Other, please specify</b> <b>Beneficial Interest - in percentage</b> <b>#Type Code<sup>11</sup> - of Controlling person</b>	<b>Address - Include State, Country, PIN / ZIP Code &amp; Contact Details</b>
1. Name Country Tax ID No.	Tax ID Type Beneficial Interest Type Code	Address ZIP _____ State: _____ Country:
2. Name Country Tax ID No.	Tax ID Type Beneficial Interest Type Code	Address ZIP _____ State: _____ Country:
3. Name Country Tax ID No.	Tax ID Type Beneficial Interest Type Code	Address ZIP _____ State: _____ Country:

**If passive NFE, please provide below additional details.**

(Please attach additional sheets if necessary)

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

<sup>4</sup>Refer 3(iii) of Part D | <sup>5</sup>Refer 3(vi) of Part D | <sup>11</sup>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).

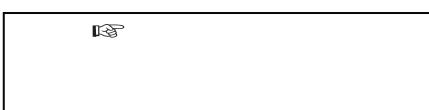
If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Tax 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<sup>6</sup> 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 >>  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:
  - (i) the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
  - (ii) 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	<p>Any NFE is a 'non for profit' organization which meets all of the following requirements:</p> <p>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;</p> <p>It is exempt from income tax in India;</p> <p>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</p> <p>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</p> <p>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.</p>

### 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

- (a) not an Active NFE or publicly traded entity or a entity related to a publicly traded entity
- (b) 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 specialized insurance company, or an investment entity
- (c) 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-

- (a) Dividends, including substitute dividend amounts;
- (b) Interest
- (c) 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;
- (d) 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
- (e) Annuities
- (f) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (g) The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any financial assets,
- (h) The excess of foreign currency gains over foreign currency losses
- (i) Net income from swaps
- (j) 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 settlor 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.

## Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

**Name of Applicant**

Sr. No.	PAN	Name	DIN (For Directors)/ Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

Name & Signature of the Authorised Signatory(ies)

Date    /    /



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SECURITIES LIMITED



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

### D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, 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:

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



**GLOBALWORTH**  
SECURITIES LIMITED

## ECN AUTHORISATION

Date :

To,

GLOBALWORTH SECURITIES LIMITED  
716, 7th Floor, Neelkanth Corporate Park, Kirol Road,  
Near Railway Station, Vidyavihar (West), Mumbai 400 086

Dear Sir,

**Mandate to issue contracts on digital format and ledger account.**

I/We hereby authorize you to send contract notes/bills, statements accounts/ledgers and other digitally signed communications (digital documents) on any of my Email ID below.

Email ID \_\_\_\_\_

Alternative Email ID \_\_\_\_\_

I/We undertake to check the contract notes and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes. My non-verification or not accessing the contract note on regular basis shall not be a reason for disputing the contract note any time. The instruction to issue the digital contract note is applicable within the effect.

I/we have noted that non-receipt of bounce mail notification by you shall amount to valid delivery of the digital documents.

If there is any change in my / our Email ID, the same shall be intimated to you in writing through physical letter or such other approved mode of communication as acceptable to you.

Thanking you

Yours faithfully



**Signature of the Client** \_\_\_\_\_

**Name of the Client** \_\_\_\_\_

**Client Code** \_\_\_\_\_

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**
**Important Instructions:**

A) Fields marked with '\*' are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.

E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



<b>For office use only</b>	Application Type*	<input type="checkbox"/> New <input type="checkbox"/> Update	<i>(Mandatory for KYC update request)</i>	
(To be filled by financial institution)	KYC Number	<input type="text"/>		
	Account Type*	<input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small		

**□ 1. PERSONAL DETAILS** (Please refer instruction A at the end)

Prefix	<input type="text"/> First Name	<input type="text"/> Middle Name	<input type="text"/> Last Name	
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Date of Birth*	<input type="text"/> DD - <input type="text"/> MM - <input type="text"/> YY YY YY			
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian	<input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			
<b>PHOTO</b>				<input type="text"/>
Signature / Thumb Impression				

**□ 2. TICK IF APPLICABLE □ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA** (Please refer instruction B at the end)

**ADDITIONAL DETAILS REQUIRED\*** (Mandatory only if section 2 is ticked)

 ISO 3166 Country Code of Jurisdiction of Residence\* 

 Tax Identification Number or equivalent (If issued by jurisdiction)\* 

 Place / City of Birth\* 



 ISO 3166 Country Code of Birth\* 
**□ 3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

 (Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/> DD - <input type="text"/> MM - <input type="text"/> YY YY YY
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/> DD - <input type="text"/> MM - <input type="text"/> YY YY YY
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

**4. PROOF OF ADDRESS (PoA)\***
**□ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)

 (Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/> please specify	<input type="text"/>
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

**Address**

Line 1*	<input type="text"/>	City / Town / Village*	<input type="text"/>				
Line 2	<input type="text"/>						
Line 3	<input type="text"/>						
District*	<input type="text"/>	Pin / Post Code*	<input type="text"/>	State / U.T Code*	<input type="text"/>	ISO 3166 Country Code*	<input type="text"/>

5. CONTACT DETAILS

6. DETAILS OF RELATED PERSON

<input type="checkbox"/> Addition of Related Person	<input type="checkbox"/> Deletion of Related Person	KYC Number of Related Person (if available*)	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Related Person Type*		<input type="checkbox"/>	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative			
Name*		Prefix	First Name	Middle Name	Last Name		
<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"/> <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"/> <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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
(If KYC number and name are provided, below details of section 6 are optional) Tel. (Off)							

PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)

## 8. APPLICANT DECLARATION

- 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.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : 

D	D
---	---

 - 

M	M
---	---

 - 

Y	Y	Y	Y
---	---	---	---

Place :

Signature / Thumb Impression of Applicant

**9. ATTESTATION / FOR OFFICE USE ONLY**

Certified Copies

KYC VERIFICATION CARRIED OUT BY

## INSTITUTION DETAILS



**6. REMARKS (If any)**

**7. APPLICANT DECLARATION** (Please refer instruction G at the end)

- 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.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :  -  -

Place :

Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies  Equivalent e-document

#### KYC VERIFICATION CARRIED OUT BY

Identity Verification	<input type="checkbox"/> Done	Date	D	D	-	M	M	-	Y	Y	Y	Y
Emp. Name												
Emp. Code												
Emp. Designation												
Emp. Branch												

## INSTITUTION DETAILS

**Annexure A2 | Legal Entity | Other than Individuals**
**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person**
**Important Instructions :**

A) Fields marked with '\*' are mandatory fields.  
 B) Tick '✓' wherever applicable.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please fill the form in English and in BLOCK letters.  
 E) KYC number of applicable is mandatory for update application.  
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 G) List of two character ISO 3166 country codes is available at the end.  
 H) Please read section wise detailed guidelines / instructions at the end.  
 I) For particular section update, please tick (3) in the box available before the section number and strike off the sections not required to be updated

For office use only

Application Type\*

 New    Update    Delete

(To be filled by financial institution) KYC Number

(Mandatory for KYC update and delete required)


**1. DETAILS OF RELATED PERSON\*** (Please refer instruction E at the end)

Addition of Related Person    Deletion of Related Person    Update Related Person Details  
 KYC Number of Related Person (if available\*)  If KYC number is available, only 'Related Person Type' & 'Name is mandatory'

 Related Person Type\*    Director    Promoter    Karta    Trustee    Partner    Court Appointment Official    Proprietor  
 Beneficiary    Authorised Signatory    Beneficial Owner    Power of Attorney Holder    Other (Please specify)

DIN (Director Identification Number)

(Mandatory if Related Person Type is Director)

**1.1 PERSONAL DETAILS** (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/> DD - <input type="text"/> MM - <input type="text"/> YY YY YY			
Gender*	<input type="checkbox"/> M - Male <input type="checkbox"/> F - Female <input type="checkbox"/> T - Transgender			
Nationality*	<input type="checkbox"/> IN - Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )			
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

**1.2 PROOF OF IDENTITY AND ADDRESS\*** (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/> A-Passport Number	<input type="text"/>
<input type="checkbox"/> B-Voter ID Card	<input type="text"/>
<input type="checkbox"/> C-Driver Licence	<input type="text"/>
<input type="checkbox"/> D-NREGA Job Card	<input type="text"/>
<input type="checkbox"/> E-National Population Register Letter	<input type="text"/>
<input type="checkbox"/> F-Proof of Possession of Aadhaar	<input type="text"/>
<input type="checkbox"/> E-KYC Authentication	<input type="text"/>
<input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>

 PHOTO\*

Line 1*	<input type="text"/>		
Line 2**	<input type="text"/>		
Line 3	<input type="text"/>		
District*	<input type="text"/>	PIN / Post Code* <input type="text"/>	City / Town / Village* <input type="text"/>
		State / U.T Code* <input type="text"/>	ISO 3166 Country Code* <input type="text"/>

**1.2 PROOF OF IDENTITY AND ADDRESS\*** (Please refer instruction E at the end)

 Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/> A-Passport Number	<input type="text"/>
<input type="checkbox"/> B-Voter ID Card	<input type="text"/>
<input type="checkbox"/> C-Driver Licence	<input type="text"/>
<input type="checkbox"/> D-NREGA Job Card	<input type="text"/>
<input type="checkbox"/> E-National Population Register Letter	<input type="text"/>
<input type="checkbox"/> F-Proof of Possession of Aadhaar	<input type="text"/>
<input type="checkbox"/> E-KYC Authentication	<input type="text"/>
<input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>
<input type="checkbox"/> Deemed PoA	
<input type="checkbox"/> Self Declaration	

## Address

Line 1*																				
Line 2**																				
Line 3											City / Town / Village*									
District*						PIN / Post Code*					State / U.T Code*					ISO 3166 Country Code*				

#### **1.4 CONTACT DETAILS** (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

#### **1.4 CONTACT DETAILS** (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

- 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. If KYC number is available, only 'Related Person Type';<sup>1</sup> & 'Name is mandatory'
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address 

Date : 

D	D
---	---

 - 

M	M
---	---

 - 

Y	Y	Y	Y
---	---	---	---

Place :

**Signature / Thumb Impression of Applicant**

### 3 ATTESTATION / FOR OFFICE USE ONLY

**Documents Received**  Certified Copies  E-KYC data received from UIDAI  Data received from Office verification  
 Digital KYC process  Equivalent e-document

## KYC VERIFICATION CARRIED OUT BY

Identity Verification	<input type="checkbox"/> Done	Date	D	D	-	M	M	-	Y	Y	Y	Y
Emp. Name												
Emp. Code												
Emp. Designation												
Emp. Branch												

## INSTITUTION DETAILS



## ACKNOWLEDGEMENT

To,

Client Name : \_\_\_\_\_

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

Address : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

Dear Sir,

This has reference to necessary Know Your Client from containing basic information, additional information and other documents executed by me. I hereby acknowledge receipt of following documents from you:

1. Documents containing mandatory Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Documents.
3. Document detailing do's and don'ts for trading on exchange, for the education of the investors.
4. Policy and Procedures document.
5. Copy of Executed KYC document
6. Tariff Schedule.
7. Authority of Running Account.
8. PMLA Trading Material

I state that I have read and understood all above documents and these documents are binding upon me.

Thanking you,

Yours Faithfully,

For Globalworth Securities Ltd.



\_\_\_\_\_  
Signature of the Applicant

**NOMINATION FORM- TRADING AND DEMAT ACCOUNT**
**(ANNEXURE-A)**
*(To be filled in by individual applying singly or jointly)*
**GLOBALWORTH SECURITIES LIMITED**

 REGISTERED OFFICE: 7<sup>TH</sup> FLOOR, NEELKANTH CORPORATE PARK,  
 KIROL ROAD, NEAR RAILWAY STATION, VIDYAVIHAR (WEST),  
 MUMBAI-400086

Date	D	D	M	M	Y	Y	Y	Y	DP ID	I	N								Client ID					
UCC																								
I/We wish to make a nomination. [As per details given below]																								
<b>Nomination Details</b>																								
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																								
Nomination can be made upto three nominees in the account.					Details of 1 <sup>st</sup> Nominee					Details of 2 <sup>nd</sup> Nominee					Details of 3 <sup>rd</sup> Nominee									
1	Name of the nominee(s) (Mr./Ms.)																							
2	Share of each Nominee	Equally [If not equally, please specify percentage]																						
3	Relationship With the Applicant ( If Any)																							
4	Address of Nominee(s)  City / Place: State & Country:																							
				PIN Code																				
5	Mobile / Telephone No. of nominee(s) #																							
6	Email ID of nominee(s) #																							
7	Nominee Identification details # [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature PAN <input type="checkbox"/> Aadhaar Saving Bank account no. Demat Account ID																							
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																								
8	Date of Birth {in case of minor nominee(s)}																							
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																							
10	Address of Guardian(s)																							

	City / Place: State & Country:					
		PIN Code				
11	Mobile / Telephone no. of Guardian #					
12	Email ID of Guardian #					
13	Relationship of Guardian with nominee					
14	Guardian Identification details # [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN account no. Proof of Identity <input type="checkbox"/> Demat Account ID					
Name(s) of holder(s)						Signature(s) of holder*
Sole / First Holder (Mr./Ms.)						➤
Second Holder (Mr./Ms.)						
Third Holder (Mr./Ms.)						

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

# Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

**Note:**

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

**Name and Signature of Holder(s)\***

1. ➤

2. ➤

3. ➤

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

DECLARATION FORM FOR OPTING OUT OF NOMINATION

(Annexure B)

**GLOBALWORTH SECURITIES LIMITED**

REGISTERED OFFICE: 7<sup>TH</sup> FLOOR, NEELKANTH CORPORATE PARK,  
KIROL ROAD, NEAR RAILWAY STATION, VIDYAVIHAR (WEST),  
MUMBAI-400086

DATE	D	D	M	M	Y	Y	Y	Y	UCC							
DP ID									CLIENT ID							

Sole/First Holder Name	
Second Holder Name	
Third Holder Name	
<p>I/We hereby confirm that I/ We do not wish to appoint any nominee(s) in my /our Trading / Demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my /our legal heirs would need to submit all the requisite documents/ information for claiming of assets held in my/ our trading /demat account, which may also include documents issued by court or other such competent authority, based on the value of assets held in the trading / demat account</p>	
<p><b>Name and signature of holders</b></p>	
<p>1. _____ 2. _____ 3. _____</p>	

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature