



CLIENT REGISTRATION FORM

Name _____

PAN No.

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Client code _____ Branch _____

Dealer Name _____ Brokerage Scheme _____

Ref No. / Sr. No. _____ RM Name/Code _____

INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Pg. No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI/IFSCA & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. <ul style="list-style-type: none"> • Individual Clients: Annexure-2 • Non-Individual Clients: Annexure-3 B. Document captures the additional information about the constituent relevant to trading account: Annexure-4	1 - 6
2.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the Trading Member)	1
VOLUNTARY DOCUMENTS AS PROVIDED BY THE TRADING MEMBER/			
3.	Running Account Authorisation		7
4.	DMA Facility Agreement		9-10
BOOKLET 1			
5.	Rights and Obligations	Document stating the Rights & Obligations of Trading Member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading): Annexure-6	1-5
6.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market: Annexure-7	6-9
7.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors: Annexure-8	10-11
8.	Policies and Procedures	Document describing significant policies and procedures of the trading member (to be added by the Trading Member)	12-13
9.	Product Disclosure Statement' (PDS) and 'Master Deed Poll' (MDP)	Applicable for clients trading in NSE IFSC Receipts Annexure 9 & Annexure 10	14-92
10.	Rights and Obligations of Bullion Trading Member and Clients	Document stating the Rights & Obligations of Bullion Trading Member and client for	93-96
11.	Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (W-8BEN/W-8BEN-E)	Applicable for clients trading in NSE IFSC Receipts The said certificate can be accessed at https://www.irs.gov/forms-pubs/about-form-w-8-ben and https://www.irs.gov/forms-pubs/about-form-w-8-ben-e	2
BOOKLET 2			

Name of stock broker/trading member /clearing member	EMKAYGLOBAL FINANCIAL SERVICES IFSC PRIVATE LIMITED
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Exchange	Member Code
India INX	5063
IIBX	2010
NSE IFSC	10042

Regulator	Registration no.
SEBI	INZ000287538
IFSCA	IFSC/Bullion TM-CM/2021-22/010

Registered office address	Unit No.517, Fifth Floor, Signature, 13B, Zone-1, GIIFT SEZ Gandhinagar - 382355
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Registered office Contact No.	079-66518009, 079-66518010
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Correspondence office address	Paragon Centre, C-06, Ground Floor, Pandurang Budhkar Marg, Worli, Mumbai-400013
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Website	https://www.emkayglobal.com/ifsc
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Compliance officer name Phone no. Email Id	Mr. Rakesh Gajjar 079-66518009 compliance@emkayglobalifsc.com
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Principal officer name Phone no. Email Id	Mr. Girish Patel 079-66518010 compliance@emkayglobalifsc.com
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Director name Phone no. Email Id	Mr. Rajesh Sharma 022-66299299 compliance@emkayglobal.com
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For any grievance/dispute please contact Emkay global Financial Services IFSC Private Limited at the above address and contact us on 91- 22 66299299 or email us at grievance@emkayglobalifsc.com .

In case not satisfied with our response, please contact the concerned exchange(s) at:
INDIA INTERNATIONAL EXCHANGE (IFSC) LTD
Phone No. +91 79 61993135

NSE IFSC Limited
Phone No. +91 79 66743609/10
Email: igr@nseifsc.com; investorgrievance@nseix.com

India International Bullion Exchange IFSC Ltd.
Phone no. +91 79 6969 7100 Email: info@iibx.co.in



Please fill form in ENGLISH and BLOCK Letters

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Date

D	D	M	M	Y	Y	Y	Y
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CLIENT REGISTRATION FORM

Client Code

Name of the Entity:	
Date of Incorporation Place of Incorporation Date of Commencement of business: Tax Identification Number: Registration No. (e.g. CIN) LEI NUMBER	
Status Please tick () <input checked="" type="checkbox"/> <input type="checkbox"/> Private Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust / Charities / NGOs <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> FPI EFI <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Body <input type="checkbox"/> Defence Establishment <input type="checkbox"/> Body of Individuals <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Mutual Fund <input type="checkbox"/> HUF <input type="checkbox"/> Others _____	
SEBI Registration Number of the client & its subaccounts along with FPI Category -I/II (if applicable).	
Permanent Account Number (PAN) of the client & its sub-accounts (if applicable)	
Permanent Address or Registered Address Details	
Correspondence Address	
Contact Details	Tel No (Off) : Mobile : E-mail Id :

Registered Address (if different from above)	
Specify the proof of address submitted for registered address:	

Other Details

Gross Annual Income Details Please tick (✓)

<input type="checkbox"/> USD(\$) 1364.02 (Below 1 Lac)	<input type="checkbox"/> USD(\$) 1392.02 - 6820.10 (1-5 Lac)
<input type="checkbox"/> USD(\$) 6820.10 - 13640.21 (5-10 Lac)	<input type="checkbox"/> USD(\$) 13640.21 - 34100.53 (10-25 Lac)
<input type="checkbox"/> USD(\$) 34100.53 - 136402.10 (25 Lac -1 Crore)	<input type="checkbox"/> USD(\$) 136402.10 (> 1 Crore)

Net Worth in USD \$ (should not be older than 1 year)	\$ _____ as on (date) _____
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Name, Residential Address of Promoter/whole time directors*:	
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DIN/UID of Promoters/Designated Partners and whole time directors:	
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Please tick, if applicable, for any of your authorized signatories/Promoters/ whole time directors: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person(PEP)	
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Unique Client Code (UCC) and Custodian Participant Code (as allotted by the exchanges): <i>(please use the annexure to fill in the details, if the data is more)</i>	BSE INDIA INX :- NSE IFSC CP Code: - UCC Code:-
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KRA Registration Status	Yes / No
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BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank A/c No.	A/c Type: Saving/Current/ other (NRI/NRE/ NRO etc.)	MICR Code*	IFSC Code*	SWIFT Code or BIC*

Nostro Bank Name	
Nostro Bank Address	
Nostro Bank Account No.	
Identifier Code (SWIFT)	

DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

Local Custodian details along with names and contact details of the person handling the said accounts in India.	
Bank Office Contact Details (Name, contact details and e-mail ids)	
Front Office Contact Details (Name, contact details and e-mail ids)	
Details of any action/proceedings initiated/pending/ taken by IFSCA/SEBI/ Exchanges/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in bullion during the last 3 years	

DEALING THROUGH OTHER STOCK BROKERS

Whether dealing with any other stock broker (in case dealing with multiple stock brokers, provide details of all)

Name of Stock Broker: _____

Client Code: _____ Exchange: _____

Details of disputes/pending from/to such stock broker: _____

ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): _____ Specify your Email id, if applicable: _____
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): _____
- 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: _____
- Any other information: _____

INTRODUCER DETAILS (optional)*

Name of the Introducer: _____

(Surname) (Name) (Middle Name)

Status of the Introducer: Remisier/Authorized Person/Existing Client/Others, please specify: _____

Address and phone No. of the Introducer: _____

Signature of the Introducer: _____

NOMINATION DETAILS (for individuals only)**I/We wish to nominate I/we do not wish to nominate**

Name of the Nominee: _____ Relationship with the Nominee: _____

PAN of Nominee: _____ Date of Birth of Nominee: _____

Address and phone no. of the Nominee: _____

If Nominee is a minor, details of guardian:

Name of guardian: _____

Address and Phone No. of Guardian: _____

Signature of guardian: _____

WITNESSES (Only applicable in case the account holder has made nomination)

1) Name: _____ 2) Name: _____

Address: _____ Address: _____

Signature: _____ Signature: _____

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', Product Disclosure Statement (PDS) and Master Deed Poll (MDP), as may be applicable to me. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We 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 Client/ (all) Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

Particulars	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, Guidance Note, Product Disclosure Statement (PDS) and Master Deed Poll (MDP), as may be applicable to them. 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', RDD, PDS and MDP would be made available on my/our website, if any, for the information of the clients.

()**Signature of the Authorised Signatory**

Date: _____

Seal/Stamp of the stock broker

INSTRUCTIONS/CHECK LIST



1. Additional documents in case of trading in derivatives - 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 client from time to time.*

2. 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.
3. As per SEBI Circular No. IMD/FPI&C/CIR/P/2019/124 dated November 05, 2019, registered FPIs ("FPIs"), proposing to operate in IFSC, shall be permitted, without undergoing any additional documentation and/or prior approval process.
4. Demat master or recent holding statement issued by DP bearing name of the client.
5. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker.
 - b. 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.
 - a. Form need to be initialized by all the authorized signatories.
 - b. 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.
6. For non-individuals:

Format of Trade Confirmations (if other than the prescribed contract note format, please provide a sample trade confirmation file).				
Please specify the e-mail ids (distribution list) for sending the trade confirmations.				
Omgeo / CTM (If applicable)	BIC Code :			
	Alert ACRONYM Code :			
	FIX/ACCESS CODE:			
Authorized Personnel List (List of your personnel who are authorized to deal with us (place orders), along with contact details and specimen signature(s))(please use the annexure to fill in the details, if the data is more)				
Commission / Rate / Brokerage Code		%	Min	Per Lot
	1st Leg			
	2nd Leg			
Any other information				

Authorised Signatory 1 	Name:- _____ PAN :- _____ Address :- _____ Email :- _____ Mobile or Telephone :- _____
Authorised Signatory 2 	Name: - _____ PAN: - _____ Address: - _____ Email: - _____ Mobile or Telephone:- _____

RUNNING ACCOUNT AUTHORIZATION

Date :

To

Emkayglobal Financial Services IFSC Private Limited

Unit No.517, Fifth Floor, Signature,13B, Zone-1, GIFT SEZ Gandhinagar – 382355

Dear Sir,

I/ We _____ (client name) am/are registered with you having client code _____.

I/We hereby authorize you as under:

1. I/We hereby give my/our consent to maintain my/our account for funds as RUNNING ACCOUNT in accordance with circulars / guidelines issued by IFSCA/Exchanges from time to time.
2. The actual settlement of funds shall be done by you as per frequency mentioned as below (sign against relevant option)

Sr. No	Frequency	Sign here
i.	Monthly	
ii.	Quarterly	
iii.	Half Yearly	
iv.	Yearly	
v.	Based on my/our instruction	

3. In case of point 2(v) above, as and when I request for release of funds, the same shall be processed within 3 working days of the request.
4. You will send statement of Funds & securities on at least quarterly basis within 10 days of quarter end and I/We shall bring discrepancy, if any, to your notice within 7 working days from the receipt of the statement.
5. I/We am/are aware that the authorization will be in force till the same is revoked by me/us. Further, I/we may revoke the authorisation at any time by making valid request in writing.

Thanking you,

Yours truly,



Signature of the Client

TRADING PREFERENCE

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

Exchange	Product
NSE IFSC	<p>Equity Derivative _____</p> <p>Currency Derivative _____</p>
IIBX	<p>Equity Derivative _____</p> <p>Currency Derivative _____</p>
BSE INDIA INX	<p>Equity Derivative _____</p> <p>Currency Derivative _____</p>

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

Place: _____

Date: _____



Name & Signature of the Applicant with stamp.

TERMS AND CONDITIONS - DMA FACILITY AGREEMENT

Client Name: _____

Client Code: _____

Emkayglobal Financial Services IFSC Private Limited (hereinafter referred to as the “**Broker-Dealer**”) provides Direct Market Access (“**DMA**”) services to its clients in accordance with the rules, regulations circulars and notifications as may be issued by International Financial Services Centres Authority (“**IFSCA**” or the “**Regulator**”) from time to time. The Terms and Conditions for availing DMA facility have been provided hereunder.

1. The client is expected to be fully aware of the risks associated with the market and the financial instruments being traded on stock exchanges through DMA. The client shall be responsible for complying with laws, rules, regulations, notifications etc. issued by regulatory authorities as may be applicable from time to time. The DMA facility shall be used by the client only to execute its own trades and shall not be used for transactions on behalf of any other person/entity.
2. The client shall be responsible for ensuring that, only persons authorized by it shall access and use the DMA facility provided by the Broker Dealer. All orders originating from such facility / system shall be deemed to be authorized by the client.
3. The Broker-Dealer has necessary systems and controls in place with respect to Electronic/Automated Risk Management before the release of order to the Exchange trading system. The client shall agree to be bound by the various limits that the Broker-Dealer shall impose from time-to-time at its sole discretion for the usage of the DMA facility which shall vary from client to client.
4. The Broker-Dealer shall carry out periodic risk-based reassessment of the adequacy of its clients' systems and controls, in particular, taking into account the following:
 - a. Changes to the scale, nature or complexity of trading activities or strategies
 - b. Changes to their staffing
 - c. Ownership structure
 - d. Regulatory status
 - e. Financial position
 - f. Intention to sub-delegate its DMA
 - g. Identify order flows emanating from DMA
5. Where the client accesses or proposes to access the Broker-Dealer's DMA platform through external applications, including but not restricted to services of third party service provider(s), own application(s), etc., the client shall ensure that such applications have adequate security features including but not limited to access controls, password protection etc.; and that appropriate agreement(s) with such third party service provider(s) etc. for ensuring secured access and communication has been executed and are in place. The client shall be solely responsible for any regulatory non-compliances due to the use of such external applications or services of third-party services providers and shall fully indemnify the Broker-Dealer against any regulatory actions.
6. Client is aware that the trading limits, exposure limits and position limits are set for all its DMA ID's based on risk assessment, credit quality and available margins of the client. Client is aware that these limits are regularly reviewed by Chief Risk Officer or Chief Compliance Officer.
7. Client is aware that all DMA orders are routed through electronic/automated risk management systems of the Broker-Dealer to carry out appropriate validations of all risk parameters including Quantity Limits, Price Range Checks, Order Value and Credit checks before the orders are released to the Exchange.
8. The client shall provide the names of authorized individual users to the Broker Dealer prior to placing DMA orders. The client shall ensure that no person authorized by them to place orders through DMA facility provided by the Broker-Dealer has been / is involved in any adverse action by any regulatory authorities in any jurisdiction.
9. The client shall not use or allow the use of DMA facility to engage in any form of market misconduct including insider trading and market manipulation or conduct that is otherwise in breach of applicable laws, rules and regulation.
10. The client is aware that Algorithmic trading i.e. generation of orders using automated execution logic is governed by Algorithmic trading guidelines issued by IFSCA and Exchanges and requires prior approval of the exchanges. The client shall ensure that new algorithms and changes to existing approved algorithms are not used through the DMA facility without prior approval of concerned stock exchanges. The client shall ensure that it has necessary checks and balances, in place to identify and control dysfunctional algorithms and the Broker-Dealer shall have

the right to shut down the DMA facility and remove any outstanding client orders in case of any suspected dysfunctional algo.

11. The client is aware that authentication technologies and strict security measures are required for routing orders through DMA facility and undertakes to ensure that the password of the client and/or his representative are not revealed to any third party.
12. The client acknowledges that all DMA orders placed by them through the DMA facility would be validated by the risk management system of the Broker Dealer. The Broker Dealer has the right to accept or reject any DMA order placed by the client at its sole discretion.
13. The client shall be solely responsible for all acts or omissions of any person using a DMA facility and shall be bound to accept and settle all transactions executed through the DMA facility provided by the Broker Dealer notwithstanding that such order(s) may have been submitted erroneously or by an unauthorized user, or that its data is inaccurate or incomplete when submitted, or the client subsequently determines for whatever reason that the order should not have been submitted.
14. The client shall notify the Broker Dealer in the event of DMA facility being compromised. Upon receipt of this notice, client's DMA facility shall be promptly disabled but the client shall continue to be responsible for any misuse of the DMA facility or any orders placed through the DMA facility as a result of the compromise of the DMA facility at their end. The Broker-Dealer shall not be liable for any loss, liability or cost whatsoever arising as a result of any unauthorized use of DMA facility at the client's end.
15. In the event of winding-up or insolvency of the client or his otherwise becoming incapable of settling their DMA obligation, Broker-Dealer may close out the transaction of the client as permissible under bye-laws, rules, regulations of the exchanges. The client shall continue to be liable for any losses, costs, damages arising thereof.
16. The client is fully aware of the risks of transmitting DMA orders to the Broker-Dealer's DMA facility through vendor systems or service providers and the Broker Dealer is not responsible for such risks.
17. The client should be aware of the fact that neither the DMA facility will be uninterrupted nor error free nor the results that may be obtained from the use of the service or as to the timeliness, sequence, accuracy, completeness, reliability or content of any information, service or transaction provided through DMA. The DMA service is provided on an "as is", "as available" basis without warranties of any kind, either express or implied, including, but not limited to, those of information access, order execution, merchantability and fitness for a particular purpose. The Broker-Dealer shall not be liable for any loss, damage or injury including but not limited to direct lost profits or trading losses or any consequential, special, incidental, indirect, or similar damages from the use or inability to use the service or any part thereof.
18. The Broker-Dealer shall have the right to withdraw the DMA facility in case of:-
 - Breach of the limits imposed by the Broker-Dealer or any regulatory authority.
 - On account of any misuse of the DMA facility by the client or on instructions as may be received from IFSCA/Exchanges.
 - Any other reason, at the discretion of the Broker-Dealer, the Broker-Dealer shall endeavor to give reasonable notice to the client in such instances.
19. The Broker-Dealer shall not be liable or responsible for non-execution of the DMA orders of the client due to any link/system failure at the client/ Broker Dealer/ exchange(s) end.
20. This document shall not be altered, amended and /or modified by the parties in a manner that shall be in contravention of any other provisions of this document. Any additional terms and conditions should not be in contravention with rules/ regulations/ bye-laws/ circulars, of the relevant authorities including applicable stock exchanges as amended from time to time.

We confirm having read/been explained and understood the contents of the Terms and Conditions for Direct Market Access (DMA). We do hereby agree to be bound by such provisions as outlined in the document. We confirm that we have received a copy of the document.

Signed by:



(Signature)

Name of the Client: _____



Emkayglobal Financial Services (IFSC) Private Limited

Registered Office : Unit No. 517, Fifth Floor, Signature, 13B, Zone-1, GIFT SEZ, Gandhinagar - 382355

Correspondence Office : Paragon Center, C-06, Ground Floor, Pandurang Budhkar Marg, Worli, Mumbai - 400 013.

Web: <https://www.emkayglobal.com/ifsc>

Tel. No. Dir. 079-66518009 / 079-66518010 • **Email:** grievance@emkayglobalifsc.com

India International Exchange IFSC Ltd. - IFSCA-IFSC/Bullion TM-CM/2021-22/010 • NSE IFSC Limited