

## **Demat & Trading (Equity & Derivatives) KYC Check List**

**Please read the following Instructions carefully before filling the Account Opening Form**

- Please fill all information in CAPITAL LETTERS and with black/blue ball point pen only.
- Please paste (not staple) a passport size photograph on the space provide.
- Trading Accounts cannot be opened in joint names.
- Please put full signature at places marked as (X), wherever applicable.
- PIN code is mandatory in Address detail. Complete mobile and telephone no. should be mentioned with the STD/ISD codes.
- Only Applicant E-mail id mention
- Witness column should be filled in clearly & legibly. Signature of witness (es) is mandatory and should be there on all required place on the key.
- All Original Documents shall be required for verification purposes at the time of submission of form.
- Affix “In person verification & verified with original” stamp on all photo copy of document and fill all detail as per require in stamp
- PAN Card must be accompanied with any of the below mentioned document if photo on PAN Card is not visible.  
(1) Voter ID card (2) Passport (3) Driving License (Date of expiry should be more than six month from the date of our acceptance) (4) Aadhar Card.

### **CHECK LIST FOR DOCUMENTS TO BE SUBMITTED**

- **Signature proof must be require (PAN Card/Passport/Driving License/ As per cheque /Bank Verification Letter).**
- **All documents must be self-attested by client.**

#### **Individual Account:**

- **Recent Passport size Colour photograph(s)** of Applicant(s).
- **Copy of PAN Card** of Applicant(s).
- **Copy of Permanent Address & Correspondence Address** proof(s) in the name of Applicant(s) Driving License / Passport / Ration Card / Voter ID card /Aadhar Card / Bank Passbook or Bank statement (not more than 3 months old) / Telephone Bill – Landline (not more than 3 months old) / Electricity Bill (not more than 3 months old)
- **Copy of Cancelled Cheque** of Applicant (If name not printed on cheque then Bank Passbook/Bank Statement must be required with last three month transaction statement)
- **In case of occupation detail “House wife or Student or Retired Person ”** then authority letter in favour of Authorized representative with colour passport photographs, photo id and Address proof of Authorized Representative Mandatory require.
- **Proof for Financial Detail** (Any one for Derivatives) :  
(1) Copy of ITR Acknowledgement with statement of income (2) Copy of Annual Account (3) Copy of Form 16 in case of salary income (4) Net worth certificate duly certified by Chartered Accountant (5) Salary Slip (6) Bank Account Statement for last 6 month (7) Copy of Demat Account holding statement (8) Any other relevant documents substantiating ownership of asset.

**Minor Account: (Only Depository Account)**

- KRA require Separately (Minor & Guardian)
- Recent Passport Size colour photograph of Minor & Guardian.
- Notarized True Copy of Birth Certificate.
- Copy of PAN Card of Minor (Attested by Guardian with stamp).
- Copy of Address proof of Minor ((Attested by Guardian with stamp). (Bank Passbook or Bank statement not more than three months old. Minor's Bank A/c under Guardianship))
- Copy of Cancelled Cheque ((Attested by Guardian with stamp). (Cancelled Cheque of Minor's Bank A/c under Guardianship)).
- Copy PAN Card and Address proof of Guardian (Self attested without stamp)
- Affix rubber stamp at appropriate place.

**HUF Account: (Demat and Trading Account open in the name of HUF)**

- Recent passport size colour photograph of the KARTA.
- Copy of PAN Card of HUF.
- Copy of Address proof of HUF (Bank Passbook or Bank statement not more than 3 months old.)
- Copy of Cancelled Cheque of HUF.
- Copy of PAN card & Address Proof of KARTA (Self attested without Stamp)
- Declaration of HUF should be filled, signed and stamped (Format attached)
- Karta and all Co-Parceners sign require on Auto Pay in POA.
- Copy of PAN Card and Address Proof of all Major co-parceners with self attested. In case of Minor Coparceners copy Birth certificate required.
- Affix rubber stamp at appropriate place.
- Proof for Financial Detail (Any one for Derivatives) :  
(1) Copy of ITR Acknowledgement with statement of income (2) Copy of Annual Account (3) Copy of Form 16 in case of salary income (4) Net worth certificate duly certified by Chartered Accountant (5) Salary Slip (6) Bank Account Statement for last 6 month (7) Copy of Demat Account holding statement (8) Any other relevant documents substantiating ownership of asset.

**Partnership Firm Account:****(Depository A/c is opened in the name of " Partners" only)**

- Recent Passport size colour photograph of all Partners.
- Notarized true copy of Partnership Deed.
- Certificate of Registration (for registered partnership firms only)
- Copy of PAN Card of all Partners as well as the Partnership Firm.  
(PAN details of Partnership Firm should be mentioned in space of PAN details in KYC form)
- Copy of Address proof in the name of all Partners as well as the Partnership Firm.
- Copy of Cancelled Cheque of Partnership Firm ( If name not printed on cheque then Bank Passbook/Bank Statement must be required)
- Undertaking from partners (Format attached DP & Trading)
- List of all Partners duly certified and attested by all Partners (Format attached)
- List of Authorised signatory with specimen signatures. (Format attached)
- Copy of the Balance Sheets with audit report for the last 2 years (to be submitted every year).
- Copy of ITR Acknowledgement for the last 2 years
- Affix rubber stamp at appropriate place.

**NRI Account:**

- Recent Passport size colour photograph(s) of Applicant(s).
- Copy of Indian PAN Card
- Copy of valid Passport of Applicant
- Copy of Indian & Foreign Address proof of Applicant.
- Copy of RBI/Authorized Banker's Approval (PIS Letter)
- Copy of Cancelled Cheque of NRI (If name not printed on cheque then Bank Passbook/Bank Statement must be required)
- Undertaking to comply with FEMA regulations (Format attached)

**Supporting Documents:**

- If a person of Indian Nationality (In case of Indian Passport)
  - a) Valid VISA
  - Or
  - b) Foreign Residence Card / Green Card
  - Or
  - c) Valid Work Permit (H1 Visa)
  
- If a person is a PIO (not of Indian Nationality, holding Foreign Passport) 
  - a) Valid VISA (if residing in different country)
  - AND
  - b) Birth Place on Passport should be of India
  - Or
  - c) PIO Card
  - Or
  - d) Copy of - Indian Passport / PAN / Driving License / Voter's ID / Birth Certificate / any other documents issued by Government of India in the name of applicant (even expired / lapsed documents are acceptable)  
Which shows that he was a Indian Citizen
  - Or
  - e) Copy of current (Valid) Indian Passport of Spouse / Father / Mother (the name of the spouse/father/mother should match with corresponding details in his passport)
  - Or
  - f) Copy of a recent bank statement of his NRE a/c with a Bank in India or a personalized cheque from his NRE account with the

### **Corporate Account:-**

- Photo copy of Company Pan Card.
- Company Address Proof – (Registered and Correspondence)  
Form no-18 with R.O.C. Chellan OR Bank statement (Not more than 3 months old) OR Telephone Bill – Landline (Not more than 3 months old) / Electricity Bill (Not more than 3 months old)
- Copy of Cancelled Cheque name of Company ( If name not printed on cheque then Bank Passbook/Bank Statement must be required)
- Certified copy of Memorandum and Article of Association of Company (Sign with Rubber stamp on front page, incorporation page MOA & AOA-on 1st and last page)
- Board Resolution (Format attached)
- List of all Director (Format attached)
- List of Authorised Signatory (Format attached)
- Latest share holding pattern (format attached)
- Form no-32 with R.O.C. receipt (in case of change of Directors)  
(Require if director name mention in Board Resolution but same director name not mention in Memorandum of Association and Article of Association)
- Passport size Photograph of Authorized Signatories, all Directors & Promoters.  
(Req. Cross sign on photo with company rubber stamp)
- Copy of PAN Card, Address Proof DIN no. of Authorized Signatories, all Directors & Promoters. (Self attested)
- Certified True copy of Balance sheet with Audit Report for last two year.  
(To be submitted every year).
- Copy of Income Tax Returns of last Two Years

All document of company require with Authorized/Director sign with company rubber stamp.

## DECLARATION BY HUF

Name: .....

Address:.....

.....

.....

.....

Date: .....

To,

**Monarch Networth Capital Limited.**

901/902, 9<sup>th</sup> Floor, Atlanta Centre,

Opp. Udyog Bhavan, Sonawala Lane,

Goregaon (E), Mumbai – 400 063

Dear Sir,

We, the undersigned members of ..... (HUF)  
are desirous of opening a Trading / Demat Account in the above-mentioned name with you. The said  
account will be operated by .....(Karta)  
on behalf of ..... (HUF).

We hereby undertake that all the transactions undertaken by the said HUF shall be binding not only  
on the present members of the said joint family (both adults and minors) but also on all future  
members thereof (both adults and minors) and all persons entitled to a share therein and ourselves  
personally.

Also that whenever any change occurs in the management or in the constitution of the said joint  
family of whatsoever nature, we undertake to give notice thereof to you

Sr. No.	Name of Member	Designation	Relationship	Date of Birth	Signature
1.		Karta			
2.		Co-Parcener			
3.		Co-Parcener			
4.		Co-Parcener			
5.		Co-Parcener			

Thanking you,

Yours faithfully,

X.....

(Karta Sign with stamp)

**AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S)**

**(To be printed on pre-printed Letterhead of Partnership Firm) (This letter is to be obtained only if the Client is a Partnership Firm)**

To,  
**Monarch Networth Capital Limited.**  
901/902, 9<sup>th</sup> Floor, Atlanta Centre,  
Opp Udyog Bhavan, Sonawala Lane,  
Goregaon (E), Mumbai – 400 063

1. I/We have submitted an application for opening a single/joint application a beneficial owner (BO) account in the category „ individual“ “ for holding carrying out transactions in respect of securities belonging to our firm, since as per the clarification issued by department of company affairs vide its circular no. 5/75 (8/18/75-cl-v) dated march 31, 1975, partnership firm is not capable of being a member within meaning of section 41 of the companies act, 1956.
  
2. I/ we represent the firm.
  
3. In consideration of you have agreed to accept the permanent account number (PAN) issued by the income tax department (ITD) to the firm along with our individual identity documents, I /we acknowledge & undertake as under ;-
  - (A) The acceptance of PAN number of our firm does not amount to you having taken notice of trust or recognize our firm.
  - (B) I /we shall continue to responsible for complying with relevant provisions of the companies act, 1956, & rules made hereunder & other applicable laws failing which i/ we shall be responsible for consequences thereof.

Yours faithfully,

Signature: - ×..... ×..... × .....

**Name of the Partner:**

- |                   |        |
|-------------------|--------|
| (1) .....         | ×..... |
| (Name of partner) |        |
| (2) .....         | ×..... |
| (Name of partner) |        |
| (3) .....         | ×..... |
| (Name of partner) |        |
| (4) .....         | ×..... |
| (Name of partner) |        |

**AUTHORITY LETTER IN FAVOUR OF MANAGINE PARTNER/(S)**  
**(To be obtained on pre-printed letterhead of the firm)**  
**(This letter is to be signed only if the client is a partnership firm)**

To,  
**Monarch Networth Capital Limited.**  
901/902, 9<sup>th</sup> Floor, Atlanta Centre,  
Opp Udyog Bhavan, Sonawala Lane,  
Goregaon (E), Mumbai – 400 063

Dear Sir,

We the partners of M/s.....a partnership firm having its office at.....city.....state.....hereby authorize Mr./Ms.....and Mr./Ms.....to open a securities trading account in Capital Market, Futures & Options, Currency Derivatives and Retail Debt Market Segment(RDM) on behalf of firm M/s.....with the Trading Member Monarch Networth Capital Limited for the sale and purchase of Shares/Debenture/Derivative/Currency instruments in Capital Market Segment(CM) , Futures and Options Segment (F&O), Currency Derivatives and/or Retail Debt Market Segments (RDM) or any other segment that may be introduced by NSE / BSE / MCX-SX in future. He / She / They is / are authorized on behalf of the firm to deal in Equities, Derivatives, Currency, Debentures, Debt Products and the said Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of the firm by him/her/them.

Mr./Ms. ....and Mr./Ms. ....is/ are authorized to sell purchase, transfer, endorse, negotiate documents and/or/otherwise deal through Networth Stock Broking Ltd. on behalf of the firm M/s.....he/she/they is/are also authorized to sign, execute and submit such applications, undertaking, agreements other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. However any partner/authorized signatory (ies) can issue cheques from bank accounts (s) in favour of Monarch Networth Capital Limited. for credit to share trading account of the of the firm with Monarch Networth Capital Limited. even though his/their signatures may not be available on the records of Monarch Networth Capital Limited. These cheques may either be from the account of partnership firm or from individual account, the said amount so given shall be solely/ exclusively for the account of the firm maintained with Monarch Networth Capital Limited.

We also recognize that a Beneficiary account cannot be opened with a Depository Participant in the name of the Partnership firm as per Depository 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 depositor having DP ID.....opened as a singly jointly in the name of managing partner/partners of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above mentioned account. We recognize 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.

Thank you.

Yours Truly  
**Name of the Partner:**

(1) ..... ×.....  
(Name of partner)

(2) ..... ×.....  
(Name of partner)

## Board Resolution

**CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE BOARD MEETING OF THE COMPANY NAME REGISTER AT REG. OFFICE ADDRESS HELD ON DATE**

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**“RESOLVED THAT** the company do enter into a DP-BO Agreement and Client Member Agreement with **Monarch Network Capital Limited**, A Depository Participant of NSDL & CDSL, Trading Member of NSE & BSE (Capital Market Segment, Future Option Segment, Currency Derivative Segment) & MCX-SX (Currency Derivative) having its registered office at 901/902, 9<sup>th</sup> Floor, Atlanta Centre, Nr. Sonawala Lane Road, Opp. Udyog Bhavan, Goregoan(E), Mumabai-400063, for availing facility for Trading in Securities and Currency.”

**RESOLVED FURTHER THAT** the following officials of the company be and hereby individually/jointly authorized to open the Demat Account and Trading account by signing and executing the Client Registration form, DP Client Agreement and such other document, as may be required for completing the registration formalities and opening and operating Depository & Trading Account.

Sr. No.	Name	Designation	Specimen Signature (With stamp)
(1)	.....	.....	.....
(2)	.....	.....	.....

**RESOLVED FURTHER THAT** the officials as mentioned above, be severally/jointly authorized to operate and close the said Demat and Trading Account with **Monarch Network Capital Limited** and also to give instructions in respect of trading the internet, through a KIOSK, electronically or in any other manner acceptable to **Monarch Network Capital Limited**. and the same shall be binding on the company.

**RESOLVED FURTHER THAT** the company has necessary authority and powers to make investment / disinvestment in shares, debenture, debt instrument, mutual funds units and other securities

**“Certified true copy”**

**FOR and on behalf of (COMPANY NAME)**

Board of Directors:

Sr. No.	Name	Designation	Specimen Signature (With stamp)
(1)	.....	.....	.....
(2)	.....	.....	.....

**Chairman / Company Secretary /Board of Directors  
(Minimum two Directors other than Authorize Signatory)**



**(ON PARTNERSHIP FIRM/COMPANY LETTER HEAD)**

**LIST OF ALL PARTNER/DIRECTORS**

<b>Sr. No.</b>	<b>Name of Partner/Director</b>	<b>Designation</b>
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<b>1.</b>	<b>Name &amp; Address PAN &amp; DIN</b>	<b>Designation</b>
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Sign across  
Photograph with  
Stamp

<b>2.</b>	<b>Name &amp; Address PAN &amp; DIN</b>	<b>Designation</b>
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Sign across  
Photograph with  
Stamp

<b>3.</b>	<b>Name &amp; Address PAN &amp; DIN</b>	<b>Designation</b>
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Sign across  
Photograph with  
stamp

**FOR and on behalf of** (PARTNERSHIP FIRM / COMPANY NAME)

**Two Partners/ Chairman / Company Secretary /Board of Directors  
(Minimum two Directors other than Authorize Signatory)**

**(ON PARTNERSHIP FIRM/COMPANY LETTER HEAD)**

**LIST OF AUTHORISED SIGNATORY**

1.	Name Address PAN No.	Designation	Signature with stamp
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2.	Name Address PAN No.	Designation	Signature with stamp
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**Name of the Partner:**

(1) .....	×	.....
(Name of Partner)		(Sign with Stamp)
(2) .....	×	.....
(Name of Partner)		(Sign with Stamp)
(3) .....	×	.....
(Name of Partner)		(Sign with Stamp)
(4) .....	×	.....
(Name of Partner)		(Sign with Stamp)

**(ON COMPANY LETTER HEAD)**

**SHARE HOLDING PATTERN**

List of share holding pattern including list of all those holding control, either directly or indirectly in the company (To be submitted annually)

Sr. no.	Name of share holder	No. of shares	Share as % of total number of shares

**FOR and on behalf of (COMPANY NAME)**

**Chairman / Company Secretary /Board of Directors  
(Minimum two Directors other than Authorize Signatory)**