



2015<sup>301</sup>

## ATLAS INTEGRATED FINANCE LIMITED

Registered Office & Correspondence Office Address :  
403, PROSPECT CHAMBERS, 317 D.N.ROAD, FORT, MUMBAI-400 001.  
TELE.:( +91) (022) 4060 0501, FAX .: (+91)(022) 4060 0500.  
E-mail:info@aifl.net, Website: www.aifl.net.

**REGN.NO.NSE : CAPITAL MARKET INB 230956935 – Reg. Dt. 6/March/1997**  
**F & O INF 230956935 – Reg. Dt. 2/June/2000**  
**CURRENCY DERIVATIVES: INE 230956935 – Reg. Dt. 25/August/2008**  
**BSE: CAPITAL MARKET INB 010956937 – Reg. Dt. 16/July/2010**  
**INF 010956937 – Reg. Dt. 16/July/2010**  
**PMS : INP 000000530 – Reg. valid upto 15/February/2013**  
**CDSL : IN-DP-CDSL-465-2008 – Reg. Dt. 13/May/2008**

Name of the clearing member – IL & FS Securities Services Ltd.  
IL&FS House, Plot No. #14, Raheja Vihar, Chandivali, Andheri (E), Mumbai – 400 072.

Name of Compliance Officer / CEO : Nilesh B Shah  
Phone No.: 9821096233 Email Id.:nilesh@aifl.net

**MEMBER: National Stock Exchange of India Limited**  
**Bombay Stock Exchange Limited**

FORM No.:

### CONSTITUENT REGISTRATION FORM

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

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

For any grievance/dispute please contact Atlas Integrated Finance Ltd at the above address or email Id [info@aifl.net](mailto:info@aifl.net) and Phone no.: ( +91) (022) 4060 0501. In case not satisfied with the response, please contact the concerned exchange(s) at NSE [ignse@nse.co.in](mailto:ignse@nse.co.in) Phone: 26598190 / 1800220058  
[www.nseindia.com](http://www.nseindia.com) / [www.bseindia.com](http://www.bseindia.com). BSE is@bseindia.com Phone : 22728138

# ACCOUNT OPENING KIT

## INDEX

S. No	Name of the Document	Brief Significance of the Document	Page
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	2 - 8
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	9 - 10
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	11 - 14
3.	Risk Disclosure Document(RDD)	Document detailing risks associated with dealing in the securities market.	15 - 17
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	18 - 19
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	20 - 21
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	23
<b>DOCUMENTS PROVIDED BY THE STOCK BROKER (NON MANDATORY)</b>			
7.	Running Authorization and Standing Instruction / Email Mandate	Document to be signed	24

In terms of circular no. SEBI / MRD / SE / Cir-42 / 2003 dt. Nov. 19, 2003 issued by SEBI, the broker member is obliged to disclosed to its clients / constituents whether the member is trading in his own account or not. Accordingly we hereby inform you that depending upon the market conditions, the members, its directors or its associates do invest / trade in capital / derivatives segment. The same may be please be noted.

## 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 (POI): - 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 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.

