

DOCUMENTS REQUIRED FOR NON-INDIVIDUALS

Please note that there are different categories under non-individuals (Corporate, HUF, partnership firm, proprietorship firm, Trust), each of their documentary requirements is provided below. The company, firm and / or trustee would require to submit additional document including Board Resolution & Authorization letter the format of which is provided as Annexures towards the end of this document. In case of any queries please write to us at contactus@arihantcapital.com or use the Contact Us form on the website.

A. CORPORATE ACCOUNT REQUIREMENTS

All the documents should be originally attested with seal of company by all the authorized signatory(ies). Moreover, on all the photocopy documents sign of in-person verification should be done with '**VERIFIED WITH ORIGINAL**' seal. '**In person Verification**' sign is required on the form by a staff of Arihant.

Demat account requirements:

- 1) Demat Corporate Account Opening Form filled and signed with Seal of company at all the places (marked '**v**' for client signature) by the authorized signatory(ies)
- 2) KYC Form
- 3) PAN card of Company
- 4) Address proof of Company
- 5) Bank proof of Company
- 6) Copy of Board Resolution on letter head of company for investment in Securities Market (as per given format in Annexure 2) and for opening a DP account (as per format in Annexure 7)
- 7) Common seal of company on Board Resolution
- 8) Certified true copies of Memorandum & Articles of Association & Certificate of Incorporation
- 9) POA resolution (as per given format in Annexure 3), if POA given
- 10) List of directors as on present date on letter head of company (as per the following MCA website <http://www.mca.gov.in/DCAPortalWeb/dca/MyMCALogin.do?method=setDefaultProperty&mode=39>)

Note: Company should be in existence means status of company should be "Active" on MCA Site. Branches are required to check the status on the following website <http://www.mca.gov.in/DCAPortalWeb/dca/MyMCALogin.do?method=setDefaultProperty&mode=31>
- 11) 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 / Wholetime director / MD (to be submitted every year)

- 12) Authorized Signatory List with specimen signatures & photographs (as per given format in Annexure 1)
- 13) Photograph, PAN, POI, POA of authorized signatory(ies)
- 14) Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
- 15) Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly
- 16) Form no.32 (with ROC receipt) for any change in the name of Directors
- 17) Introducer details (introduced by existing A/c Holder or company's bank)
- 18) Copy of the balance sheets for the last 2 financial years (to be submitted every year)

B. HUF ACCOUNT REQUIREMENTS

All the documents should be originally attested with seal of HUF by the Karta. Moreover, all the photocopies of the document should have in-person verification done by a staff member of Arihant with '**VERIFIED WITH ORIGINAL**' seal stamped on it.

Demat account requirements:

Demat account of HUF is opened in name of KARTA under category HUF. But in KYC form name of HUF firm to be filled.

- 1) One photograph of Karta,
- 2) KYC form non-individual
- 3) PAN Card of Karta and address proof of karta
- 4) PAN card of HUF firm,
- 5) Bank pass-book/bank statement in the name of HUF.
- 6) Deed of declaration of HUF/ Co –Partners's List with seal & sign of karta
- 7) Signature of Karta is required under seal of HUF at all places of signature.

C. PARTNERSHIP FIRM ACCOUNT REQUIREMENTS

All the documents should be originally attested with seal of partnership by all the partners. Moreover, on all the photocopied documents sign of in-person verification should be done with '**VERIFIED WITH ORIGINAL**' seal. '**In person Verification**' sign on the form is required by a staff of Arihant.

Demat account requirements:

Demat account will be opened in name of Partner(s). But in KYC Form name and address of Partnership firm to be filled.

1. Demat Account Opening Form filled and signed with Seal of partnership firm at all the places (marked '**V**' for client signature) by the partners,
2. KYC Form
3. Photograph of Partners,
4. Pan Card & Address proof of all the partners,
5. PAN copy of partnership firm,
6. Address proof of partnership firm,
7. Bank proof of partnership firm,
8. Certified true copy of Partnership Deed,
9. Declaration on letter head of firm (as per given format as per Annexure 4 & Annexure 6)
10. Declaration on letter head of firm for giving authorization of operating the account & completing the formalities (if not being opened in name of all the partners), as per format in Annexure 5.
11. Copy of the balance sheets for the last 2 financial years (to be submitted every year).
12. Certificate of registration (for registered partnership firms only).
13. Authorized signatories list with specimen signatures and Photographs (as per given format in Annexure 1)

D. PROPRIETORSHIP FIRM ACCOUNT REQUIREMENTS

All the documents should be originally attested with seal of Proprietorship firm by the proprietor. Moreover, on all the photocopied documents sign of in-person verification should be done with '**VERIFIED WITH ORIGINAL**' seal. '**In person Verification**' sign is required on the form by a staff of Arihant.

Demat account requirements:

Demat account **cannot** be opened for a proprietorship firm; account will be opened of proprietor as an individual account.

E. TRUST ACCOUNT REQUIREMENTS (UNREGISTERED)

All the documents should be originally attested with seal of trust by all the trustees. Moreover, on all the photocopied documents sign of in-person verification should be done with '**VERIFIED WITH ORIGINAL**' seal. '**In person Verification**' sign is required on the form by a staff of Arihant.

Demat account requirements: -

Demat account will be opened in name of trustee(s). But in KYC Form name and address of Trust to be filled.

1. Demat Account Opening Form filled and signed with Seal of Trust at all the places (marked '**v**' for client signature) by the trustees,
2. KYC form of non-individual
3. Photograph of trustees
4. Pan card and address proof of all the trustees
5. PAN copy of Trust,
6. Address proof of Trust
7. Bank proof of Trust
8. Copy of trust deed
9. List of trustees certified by managing trustees/CA
10. Certificate of registration (for registered trust only)
11. Declaration on letter head of trust for giving authorization of operating the account & completing the formalities (if not being opened in name of all the trustees) as per Annexure 8.
12. Copy of the balance sheets for the last 2 financial years (to be submitted every year)

ANNEXURE 1

Arihant Capital Markets Limited

Authorized Signatory List

DP ID:

Client Id:

<i>Sr. No</i>	<i>Name of Authorized Signatory / Trustee</i>	<i>Specimen Signature</i>	<i>Photograph & seal sign across photograph</i>
1.			
2.			
3.			
4.			

(Authorized Official)

ANNEXURE 2

FORMAT OF BOARD RESOLUTION FOR TRADING IN SECURITIES MARKETS IN CASE OF CORPORATES

(To be printed on the letterhead of company)

CERTIFIED TRUE COPY OF THE BOARD OF RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF _____ HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ 20____ AT _____ A.M./P.M.

Resolved that the company be registered as client with ARIHANT CAPITAL MARKETS LTD [Member of National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd. (BSE)] & MCX Stock Exchange Ltd (MCX-SX) for the purpose of dealing in equities, derivatives, debentures, debt & other products and the said member be and is hereby authorized to honor instructions oral or written, given on behalf of the company by any of under noted authorized signatories.

Sr. No.	Name	Designation	Operating Instruction Single or Jointly
1.			
2.			
3.			

Who are authorized to sell, purchase, transfer, endorse negotiate and/or otherwise deal with/through Arihant Capital Market Ltd.

RESOLVED FURTHER THAT Mr. _____ and/or Mr. _____ Directors of the company be and are hereby authorized to sign, execute and submit such applications, undertaking, agreements and other requisite documents, writing and deeds as may have deemed necessary or expedient to give effect to this resolution.

AND RESOLVED FURTHER THAT, the common seal of the company be affixed, wherever necessary, in the presence of any director and company secretary who sign the same in token of their presence.

For _____

Director,

Specimen Signatures of the Authorized Persons.

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

(The above signature should be attested by the person signing the resolution for the account opening on behalf of the company)

ANNEXURE 3

COMPANY BOARD RESOLUTION FOR POA

(To be printed on the letterhead of company)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF THE COMPANY _____ HELD AT THE REGISTERED OFFICE OF THE COMPANY AT ADDRESS _____ ON DATE _____ AT TIME _____.

RESOLVED THAT pursuant to the earlier resolution, if any, passed in this connection herewith, the Board of Directors of the Company be and hereby unanimously consent to also operate the Beneficiary Account(s) to be opened or already opened with M/s Arihant Capital Markets Limited through the Power of Attorney (POA) to be executed in favour of M/s Arihant Capital Markets Limited, hereinafter referred to as 'Attorney'.

FURTHER RESOLVED THAT the said Attorney be and hereby authorised to issue instructions relating to pay-in obligation to the CM account(s) of Arihant Capital Markets Ltd. vide its IDs NSE Pool CM BP Id IN558703 and BSE Pool CM BP Id IN603131.

FURTHER RESOLVED THAT the said Attorney be and hereby authorized to pledge the securities in favor of Arihant Capital Markets Ltd. in the Pledge Account Nos. 10503963 and / or 10503972 and / or 10503980 under DP ID IN301983 for the purpose of meeting the margin requirements of my/our above mentioned trading account in connection with the trades executed by me/us on the stock exchange through the said Attorney.

FURTHER RESOLVED THAT the Board is hereby authorised to rectify all lawful acts, matters, deeds and things done by the said Attorney, pursuant to the power mentioned hereinabove.

FURTHER RESOLVED THAT Mr. /Ms _____ and/or Mr. /Ms _____ be and hereby individually/jointly authorised to do all the needful acts to give effect to the above resolution.

FURTHER RESOLVED THAT a copy of the foregoing resolution certified as True Copy by the Director of the Company be furnished to Arihant Capital Markets Limited's Depository Division and the said Depository Division is bound to act thereon.

For _____

ANNEXURE 4

PARTNERSHIP DECLARATION

(To be printed on the letterhead of the firm)

To,
Arihant Capital Markets Limited
6 Lad Colony, Off Y.N. Road
Indore (M.P.) – 452001

1. I / We, have submitted an application for opening a single / joint account for opening a Beneficial Owner [BO] account in the category "individual" for holding and carrying out transactions in respect of securities belonging to our firm, since as per the clarification issued by the 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 the meaning of Section 41 of The Companies Act, 1956.

2. I / we represent the firm.

3. In consideration of you having 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 and undertake as under:

- a. The acceptance of the PAN number of our firm does not amount to you having taken notice of trust or recognise our firm.
- b. I / We shall continue to be responsible for complying with the relevant provisions of The Companies Act, 1956 and the Rules made thereunder and other applicable Laws failing which I / we shall be responsible for the consequences thereof.

Yours faithfully,

Signature:

Name of the Partner:

Signature:

Name of the Partner:

Signature:

Name of the Partner:

ANNEXURE 5

FORMAT OF DECLARATTION IN CASE OF PARTNERSHIP FRIMS

(To be printed on the letterhead of the firm)

To,

Arihant Capital Markets Ltd.
E/5, Ratlam Kothi,
Indore -452001 (MP)

Dear Sir,

We refer to the trading account being opened with you in the name of _____ and declare and authorise you as under.

We recognise 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 authorise you to recognize the beneficiary account no with depository opened as a joint account in the name of the undersigned who is the sole of the proprietor of the firm.

We agree that the obligations for shares purchased and/ or sold by the firm will be handled and completed through transfer 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 traders executed in the above trading account of the firm.

We hereby authorise _____, partner in to execute/sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business and to sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (in block letters)	Signatures

ANNEXURE 6

AUTHORIZATION LETTER

(To be printed on the letterhead of the firm)

RESOLVED THAT the Firm shall open a Depository (Beneficiary) Account with Arihant Capital Markets Ltd., Depository Participant with National Securities Depository Limited (NSDL) for the purpose of Investment/maintaining/keeping/settling securities from time to time.”

FURTHER RESOLVED THAT Mr./Ms _____, be and hereby authorized on behalf of the firm to apply, make, sign and execute any paper(s), application(s), and/or other document(s) in connection with opening of the above depository account and to do all such acts, deeds, matters and things as may be necessary to give effect to the aforesaid resolution.”

FURTHER RESOLVED THAT, Mr./Ms _____ be individually/jointly is/are hereby authorized to operate the account on behalf of the firm.

FURTHER RESOLVED THAT, a certified copy of the said resolution be and hereby furnished to Arihant Capital Markets Ltd for the purpose of implementing this Resolution.

Specimen Signatures of the Authorized persons:

S. No.	Name	Specimen Signatures

For and on behalf of
(Firm's name)

Director Sign

ANNEXURE 7

Board Resolution for Opening Demat Account

(To be printed on the letterhead of the firm)

CERTIFIED TRUE COPY OF THE RESOLUTION OF THE BOARD OF DIRECTORS OF _____ PASSED AT THE BOARD MEETING HELD ON _____ AT THE REGISTERED OFFICE OF THE COMPANY AT _____ AND DULY RECORDED IN THE MINUTES OF THE COMPANY.

“RESOLVED THAT the Company shall open a Depository (Beneficiary) Account with Arihant Capital Markets Ltd., a Depository Participant with National Securities Depository Limited (NSDL) for the purpose of Investment/maintaining/keeping/settling securities from time to time.”

FURTHER RESOLVED THAT Mr./Ms _____, be and hereby authorized on behalf of the Company to apply, make, sign and execute any paper(s), application(s), and/or other document(s) in connection with opening of the above depository account and to do all such acts, deeds, matters and things as may be necessary to give effect to the aforesaid resolution.”

FURTHER RESOLVED THAT, Mr./Ms _____ be individually/jointly is/are hereby authorized to operate the account on behalf of the company.

FURTHER RESOLVED THAT, a certified copy of the said resolution be and hereby furnished to Arihant Capital Markets Ltd for the purpose of implementing this Resolution.

Specimen Signatures of the Authorized persons:

S. N.	Name	Specimen Signatures

For & On Behalf of (Company’s name)

Authorised Signatory

ANNEXURE 8

AUTHORIZATION LETTER

(To be printed on the letterhead of the Trust)

RESOLVED THAT the trust shall open a Depository (Beneficiary) Account with Arihant Capital Markets Ltd., Depository Participant with National Securities Depository Limited (NSDL) for the purpose of Investment/maintaining/keeping/settling securities from time to time.”

FURTHER RESOLVED THAT Mr./Ms _____, be and hereby authorized on behalf of the trust to apply, make, sign and execute any paper(s), application(s), and/or other document(s) in connection with opening of the above depository account and to do all such acts, deeds, matters and things as may be necessary to give effect to the aforesaid resolution.”

FURTHER RESOLVED THAT, Mr./Ms _____ be individually/jointly is/are hereby authorized to operate the account on behalf of the trust.

FURTHER RESOLVED THAT, a certified copy of the said resolution be and hereby furnished to Arihant Capital Markets Ltd for the purpose of implementing this Resolution.

Specimen Signatures of the Authorized Trustee:

S. No.	Name	Specimen Signatures

For and on behalf of
(Trust's name)

Trustee Sign

ANNEXURE 9

FORMAT OF BOARD RESOLUTION IN CASE OF TRUSTS

(To be printed on the letterhead of the Trust)

CERTIFIED TRUE COPY OF THE BOARD OF RESOLUTION PASSED AT THE MEETING OF THE BOARD OF TRUSTEES
OF _____ HAVING ITS REGISTERED OFFICE
AT _____ HELD ON _____
ON _____ DATE AT _____ TIME am/pm.

Resolved that the trust be registered as client with Arihant Capital Markets Ltd [member of National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd. (BSE) & MCX Stock Exchange Ltd (MCX-SX) for the purpose of dealing in equities, derivatives, debentures, debt & other products and the said member be and is hereby authorized to honor instructions oral or written, given on behalf of the trust by any of under noted authorized signatories.

Sr. No.	Name	Designation	Operating Instruction Single or Jointly
1.			
2.			
3.			

Who are authorized to sell, purchase, transfer, endorse negotiate and/or otherwise deal with/through Arihant Capital Market Ltd.

RESOLVED FURTHER THAT Mr. _____ and/or Mr. _____ trustees of the trust be and are hereby authorized to sign, execute and submit such applications, undertaking, agreements and other requisite documents, writing and deeds as may deem necessary or expedient to give effect to this resolution.

AND RESOLVED FURTHER THAT, the common seal of the trust be affixed, wherever necessary, in the presence of any director and trust secretary who sign the same in token of their presence.

For _____

Trustee,

Specimen Signatures of the Authorized Persons:

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

(The above signature should be attested by the person signing the resolution for the account opening on behalf of the trust)