

P R A Y A S

a path to success

PRAYAS SECURITIES PVT. LTD.

Regd. Off.: 16, Khatau Bldg., 1st Floor, 44, Bank Street, Fort, Mumbai - 400 001.

Tel.: 2267 7807 / 08, 3027 2132/37/38 Fax : 22677809

In Case of any grievances mail to contact@prayasexchange.com

National Stock Exchange of India Ltd.
Segment: Capital Market
Membership No.: 11938
SEBI Registration No. INB 231193831

National Stock Exchange of India Ltd.
Segment: Futures & Options
Membership No.: 11938
SEBI Registration No. INF 231193831
CM Code: M50217
Trading-Cum-Self Clearing Member

CLIENT REGISTRATION FORM

I/We request Prayas Securities Private Limited (PSPL) to register me/us as your client and enable me/us to trade in the Cash Segment, Futures & Options Segment of National Stock Exchange of India. Ltd. (NSE) pursuant to the Agreement entered into with you. I/We have read the Rules, Bye-laws and Regulations / Circulars of the Cash, Future & Option Segment of the above Exchange / RBI / SEBI and agree to abide by them. In this, I/We give the following information

KNOW YOUR CLIENT (KYC) FORM

TYPE OF ACCOUNT			
<input type="checkbox"/> HUF	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Registered Trust	<input type="checkbox"/> Unregistered Trust
<input type="checkbox"/> Private Ltd.	<input type="checkbox"/> Public Ltd.	<input type="checkbox"/> Bank	<input type="checkbox"/> Others (Please specify) _____
DETAILS			
Name of the Entity			
Date of Incorporation / Formation	D D M M Y Y Y Y	Date of Commencement of Business	D D M M Y Y Y Y
Office / Registered Office Address			
City		State	
Pin Code	MANDATORY	Country	
Telephone No. (With STD code)		Fax No.	
Email Id	@		
Correspondence Address			
(If different from the registered office address.)			
City			
Pin Code	MANDATORY	State	
Telephone No. (With STD code)		Country	
Mobile No.		Fax No.	
Contact Person's Name			
Telephone No. (With STD code)			
Mobile No.			
REGISTRATION DETAILS			
PAN	□ □ □ □ □ □ □ □ □ □		
Registration No. (With ROC, SEBI or any Government authority, if any)			
NATURE OF BUSINESS			
<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Service Industry	<input type="checkbox"/> Trading Firm	
<input type="checkbox"/> Others (Please specify)	_____		

Details of Promoter / Directors / Whole-time Directors / Trustees / Authorised Persons to deal in securities on behalf of the entity/person.

Karta / Partner / Promoters / Trustees	Name:	Please affix your photograph & sign across it.	Name:	Please affix your photograph & sign across it.	
	Designation		Designation		
	Residential Address:		Residential Address:		
	Date of Birth		Date of Birth		
	Qualification		Qualification		
	PAN No	M A N D A T O R Y	PAN No	M A N D A T O R Y	
Director / Whole-time Director	Name:	Please affix your photograph & sign across it.	Name:	Please affix your photograph & sign across it.	
	Designation		Designation		
	Residential Address:		Residential Address:		
	Date of Birth		Date of Birth		
	Qualification		Qualification		
	PAN No	M A N D A T O R Y	PAN No	M A N D A T O R Y	
Authorised Persons	Name:	Please affix your photograph & sign across it.	Name:	Please affix your photograph & sign across it.	
	Designation		Designation		
	Residential Address:		Residential Address:		
	Date of Birth		Date of Birth		
	Qualification		Qualification		
	PAN No	M A N D A T O R Y	PAN No	M A N D A T O R Y	

(Please use additional sheets if the space provided above is not sufficient)

OPERATIONAL DETAILS		
Address for Communication (Default option is Present)	<input type="checkbox"/> Permanent	<input type="checkbox"/> Present
Preferred Mode of receiving Trade Confirmation	<input type="checkbox"/> Email	<input type="checkbox"/> Phone
Preferred Form/Mode of receiving Contract Note/Documents	<input type="checkbox"/> Electronically	<input type="checkbox"/> Physically by Post/Hand Delivery
SMS Alerts (Default option is Yes)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

DEPOSITORY ACCOUNT DETAILS (THROUGH WHICH TRANSACTIONS WILL GENERALLY BE ROUTED).			
Particulars	(1)	(2)	(3)
DP Name	M A N D A T O R Y		
Account with	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
DP Address	M A N D A T O R Y		
DP ID	M A N D A T O R Y		
Client ID	M A N D A T O R Y		
2nd holder's Name			
3rd holder's Name			
Default ID (Any one)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

BANK ACCOUNT DETAILS (THROUGH WHICH TRANSACTIONS WILL GENERALLY BE ROUTED).			
Particulars	(1)	(2)	(3)
Bank Name	M A N D A T O R Y		
Branch Address	M A N D A T O R Y		
Account Type	M A N D A T O R Y		
Account No	M A N D A T O R Y		
MICR No.	M A N D A T O R Y		
IFSC Code			
Default A/c (Any one)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

(Use additional sheets, if required)

Note : (If you are a Non-Resident Indian (NRI) please attach the Reserve Bank of India (RBI) permission copy and a copy of your Portfolio Investment Schemes (PIS) approval)

INTRODUCER'S INFORMATION	
Introduced By (Tick <input checked="" type="checkbox"/> the appropriate one)	<input type="checkbox"/> Another Client <input type="checkbox"/> Sub-broker <input type="checkbox"/> Authorized Person <input type="checkbox"/> Remisier <input type="checkbox"/> Prayas Securities Pvt. Ltd. Employee / Director <input type="checkbox"/> Others _____
Name	
Address	
	Pin Code M A N D A T O R Y
Tel. No.:	
Introducer's Signature _____ (Note : Proof of identity and Signature of the Introducer is mandatory)	

SUPPORTING DOCUMENT OF INTRODUCER				
	No.	Place of Issue	Date of Issue	Date of Expiry
Pan Card (Mandatory)				
Please provide any one				
Valid Passport				
Voter ID				
Valid Driving License				

REGISTRATION DETAILS WITH OTHER STOCK BROKER

Are you registered with any other stock broker as a client ? Yes No

If Yes, Name and Membership No. of the stock broker : _____

Name of Exchange/Segment, where dealing :

Client Code No : _____
(if registered with multiple stock brokers, provide details of all on additional sheet.)






ACTION TAKEN AGAINST THE CLIENT

Details of any action taken by SEBI / Stock Exchanges / any other authority for violation of securities laws / economic offences, if any, during last 3 years _____

(Please write 'None' if no action is taken)

TRADING PREFERENCE

Please sign for the Exchange & segment, you wish to trade in : (Please tick in the relevant boxes)

Exchange / Segments		Client Signature 
NSE	<input type="checkbox"/>	
NSE Capital/Cash	<input type="checkbox"/>	
NSE F&O	<input type="checkbox"/>	
Mutual Fund Service System	<input type="checkbox"/>	

INVESTMENT / TRADING EXPERIENCE

Prior Experience Yes No

If Yes

PRODUCT TYPE	NO. OF YEARS EXPERIENCE	TRADING VOLUME IN THE PREVIOUS YEAR
Equities		
Future & Option		
Mutual Funds		
Other Instruments		

ADDITIONAL INFORMATION (Please Fill Complete Details To Help Us Serve You Better.)

Income Range (per annum)	<input type="checkbox"/> < Rs. 5 lakhs <input type="checkbox"/> Rs. 5 lakhs to Rs. 10 lakhs <input type="checkbox"/> Rs. 10 lakhs to Rs. 25 lakhs <input type="checkbox"/> Rs. 25 lakhs to Rs. 50 lakhs <input type="checkbox"/> Rs. 50 lakhs to Rs. 1 Crore <input type="checkbox"/> Rs. 1 Crore to Rs. 10 Crores <input type="checkbox"/> > Rs.10 Crores
For the Financial Year Document Provided :	<input type="checkbox"/> Form 16 <input type="checkbox"/> IT Return Copy <input type="checkbox"/> Networth Certificate <input type="checkbox"/> Others _____
Market Value of Portfolio held	<input type="checkbox"/> < Rs. 10 lakhs <input type="checkbox"/> Rs. 10 lakhs to Rs. 25 lakhs <input type="checkbox"/> Rs. 25 lakhs to Rs. 50 lakhs <input type="checkbox"/> Rs. 50 lakhs to Rs. 1 Crore <input type="checkbox"/> Rs. 1 Crore to Rs. 10 Crores <input type="checkbox"/> Rs. 10 Crores to Rs. 50 Crores <input type="checkbox"/> > Rs.50 Crores

DECLARATION

I here by agree, declare, state and confirm that :

- All the information and particulars provided by me/us in this application form are true and correct ;
- I shall immediately inform you if there is any change in any information given in this application form or in Annexure(s) to this application form ;
- Neither the information furnished herein is false or untrue nor any information is suppressed or omitted. I am aware that I may be held liable if the information and particulars furnished herein is false or untrue of found to be suppressed omitted.
- I shall furnish such information as you or the Exchange/SEBI may require from time to time and if I fail to give such information, you shall have the right to cancel my registration and you or the Exchange shall have the right to debar me from doing business in the Cash/Capital Market and F & O Segments of the Stock Exchange
- I am not disqualified under any Rules, Regulations, Bye-Laws of the Exchange/SEBI and all such Acts and Laws for the time being in force in India to deal in Securities.
- I am not a Trading Member/Sub-Broker Affiliated to the main broker of National Stock Exchange of India Ltd. (NSE) or Bombay Stock Exchange Ltd. (BSE)
- I am not expelled / suspended member / broker of any recognized Stock Exchanges in India.
- I am not an employee of another Trading Member of any Stock Exchange.



Client's Signature x _____

Client's Name : _____

Date : _____

Place : _____

- PSPL means Prays Securities Private Limited.
- This information is the sole property of the trading member/brokerage house and would not be disclosed to anyone unless required by law or incase of express permission of client.

In-Person Verification

Verified With the Original

In Person Verification Place :

Verified IN PERSON

Office Client Residence Client Office

For Prayas Securities Pvt. Ltd.

Authorised Signatory

Name : _____

Designation : _____ Date of Verification : _____

From : _____

Address : _____

Date : / / 2010

To,
Prayas Securities Private Limited
16, Khatau Bldg., 1st Floor,
44, Bank Street, Fort,
Mumbai - 400 001.
Tel.: 2267 7807 / 08. 3027 2132 / 37 / 38

Ref.: Trading Account No.

Subject : Addition / Modification of Mobile No. / Email-Id / Telephone No. / Address.

Respected Sir,

I/We, having the aforesaid Trading with you, would like to request you to update the following :-

1. Mobile No.:
2. Email : Id.:
3. Telephone No.:
4. Correspondence Address :

Further I/We hereby give my mandate to issue Contract Notes (For the transaction carried on by me/us) and Statement of Funds and Securities in Digital format at the above mentioned ID.

The above provided information is true.

Kindly do the needful as soon as possible.

Thanking You,

Yours Faithfully,

First Holder

Second Holder

Third Holder

Enclosed : Address proof (If Applicable)