

ACKNOWLEDGEMENT RECEIPT

Date:

To,

Mumbai

SUB.: ACKNOWLEDGEMENT RECEIPT FOR THE KYC DOCUMENTS.

Dear Sir,

I/We hereby confirm the receipt of copy of KYC documents along with copy of agreements and other documents for BSE / NSE / F & O segments duly signed by both of us.

Thanking You,

Yours truly,

Client Name : _____ Client Code : _____

Client Signature : _____

Sr.No.



Aldan Investments Private Limited

SEBI Reg. No. : BSE : INB010824135 (Cash Segment)
NSE : INB231259939 (Cash Segment)
NSE : INF231259939 (Derivatives Segment)
MAPIN UID NO : 100008979
BSE Clearing No. : 0181
NSE Membership No. 12599

CLIENT REGISTRATION APPLICATION FORM

BRANCH / SUB-BROKER : _____

CLIENT CODE : _____

CLIENT NAME : _____

DATE OF ACTIVATION : _____

Registered Office :

701, Heritage Plaza, J. P. Road, Opp. Indian Oil Nagar, Andheri (W), Mumbai - 400 053.

Tel.: 022-30687813 / 14 / 15 □ Fax : 022-30687822

E-mail : info@aldaninvestments.com

For Investor Grievances : complians@aldaninvestments.com

Website : www.aldaninvestments.com

KYC CHECK LIST FOR INDIVIDUAL

INDIVIDUAL

- 1 Proof of Identity of the Client (Any One)

<input type="checkbox"/> Map UID card <input type="checkbox"/> Photo ID Card issued by Employer registered under MAPIN <input type="checkbox"/> Passport	<input type="checkbox"/> Voter ID <input type="checkbox"/> Driving License <input type="checkbox"/> PAN
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- 2 Address Proof of the Client:

<input type="checkbox"/> Voter ID <input type="checkbox"/> Driving License <input type="checkbox"/> Telephone Bill landline (latest) <input type="checkbox"/> Flat Maintenance Bill <input type="checkbox"/> Bank Pass Book <input type="checkbox"/> Insurance Policy	<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Electricity Bill (latest) <input type="checkbox"/> Rent Agreement <input type="checkbox"/> Certificate with photo Issued by registered under MAPIN
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- 3 Latest Photograph Signed by the client.
- 4 DP Proof with DP ID, Client ID & Client Name clearly mentioned on the proof of Submitted.
- 5 Bank proof with Account no., Branch Name & Client name clearly mentioned on the proof Submitted.
- 6 In case client trading with other Brokers, all the details are filled up in the KYC form.

For NRI clients -

- 7 Copy of RBI Approval letter / authorised dealer certificate
- 8 Full Copy of Passport
- 9 Indian & Foreign address of client along with proof.
- 10 Power of Attorney letter to whom power is given for signature & trading on behalf of him. (Certified True Copy)
- 11 Personal details of authorized person to whom the power attorney is given for signature & trading on behalf of him
- 12 Proof for Demat account as an NRI
- 13 Proof of bank account as an NRI

KYC CHECK LIST FOR NON -INDIVIDUAL

NON - INDIVIDUAL

HUF Account

- 1 Sign photograph of Karta.
- 2 Proof of Identity and address of Karta
- 3 Copy of PAN card of HUF
- 4 Valid DP Proof in the name of HUF.
- 5 Valid Bank Proof in the name of HUF.
- 6 Undertaking letter (as per format) signed by Karta.
- 7 HUF stamp to be affixed wherever the client signs on agreement.

Corporate Clients

- 8 Details of directors / authorised signatories along with proof of identity & address.
- 9 Copies of the balance sheet for the last 2 financial years (copies of annual balance sheet to be submitted every year)
- 10 Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the company secretary/ Whole - time director/MD. (copy of updated shareholding pattern to be submitted every year)
- 11 Copies of the Memorandum and Articles of Association in case of a company / body incorporate.
- 12 Copy of the Resolution of board of directors' approving participation in equity / derivatives / debt trading and naming authorized persons for dealing in securities.
- 13 Photographs of Whole time directors, individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorized to deal in securities.
- 14 Company PAN card.
- 15 Valid DP proof in the name of Company.
- 16 Valid Bank proof in the name of company.
- 17 Company stamp to be affixed wherever Director Sign on the Agreement.
- 18 Form no. 32 incase of appointment of directors

Proprietorship Firm

- 19 Latest photograph signed by the Proprietor
- 20 PAN card of proprietor
- 21 Address proof of Proprietor.
- 22 DP Proof of Proprietor.
- 23 Verification from bank stating that the Account is in the name of the Proprietorship Firm & name of Proprietor on Bank Letter Head & cheque leaf
- 24 Proprietorship stamp to be affixed on wherever proprietors sign on the Agreement.
- 25 Undertaking of Proprietor (As per Format)

Partnership Firm

- 26 Copies of the balance sheet for the last 2 financial years (copies of annual balance sheet to be submitted every year)
- 27 Details of all partners along with proof of identity & address.
- 28 Copy of partnership deed in case of a partnership firm
- 29 Agreement should be signed by all partners with stamp of partnership firm
- 30 Certified True copy of Partnership Deed
- 31 PAN Number of Partnership Firm.
- 32 Valid bank proof in the name of Partnership Firm.
- 33 Undertaking of Partners (As per Format)

PRO Trading declaration

This has reference to circular no. SEBI / MRD / SE / CIR. - 42 / 2003 dated November 19, 2003, on the subject matter. As directed by SEBI Vide abovementioned circular we hereby disclosed that as of date Aldan Investment PVT. LTD. does client based business as well as undertake proprietary trading in the Cash and Derivative segment of NSE and cash segment of BSE.

In person verification

Name	
Designation	
Signature	
Date	