

Upmove Financial Technologies Services

SEBI Registration No: INZ000158323 | NSE Membership No. 90120 | BSE Membership No. 6694

ACCOUNT OPENING KIT

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S. No.	Name of the Document	Brief Significance of the Document	Page No
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	
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).	
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker <i>(to be added by the stock broker)</i> .	
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) <i>(to be added by the stock broker)</i> .	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
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Name of stock broker/trading member/clearing member: -----

SEBI Registration No. and date: -----

Registered office address: -----

Ph: ----- Fax: ----- Website: -----

Correspondence office address: -----

Ph: ----- Fax: ----- Website: -----

Compliance officer name, phone no. & email id: -----

CEO name, phone no. & email id: -----

For any grievance/dispute please contact stock broker (name) at the above address or email id- xxx@email.com and Phone no. 91-XXXXXXXXXX. In case not satisfied with the response, please contact the concerned exchange(s) at xyz@email.com and Phone no. 91-XXXXXXXXXX.