



MAXGROWTH CAPITAL PVT LTD

MaxGrowth Building, 15 BSF Colony Market, Opp. HMV College, GT Road, Jalandhar-144001

MEMBER : BSE NSE MCX ALL

Constitution: Individual Proprietor
(Tick Any One) Firm Company

BUSSINESS ASSOCIATE EMPANELMENT APPLICATION

Company/Firm/ Proprietary/Individual Details:

| | | | | | | | | | | | | | |
|--------------------------------|---|---|---|---|---|---|---|---|-----|---|--------------------------|---|--------------------------|
| Applicant Name * | | | | | | | | | | | | | |
| Trade Name* | | | | | | | | | | | | | |
| Contact Person* | | | | | | | | | | | | | |
| Date of Birth/ Registration | D | D | M | M | Y | Y | Y | Y | Sex | M | <input type="checkbox"/> | F | <input type="checkbox"/> |
| PAN/GIR | | | | | | | | | | | | | |

Please paste recent photograph (Individual/ Partner/Director/ and sign across the photograph.

Permanent/Registered Office Address:

| | | | | | | | | | | | | |
|-------------|--|--|--|--|--|--|--|----------|--|--|--|--|
| Address* | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| City: | | | | | | | | PIN: | | | | |
| State: | | | | | | | | Country: | | | | |
| Telephone:* | | | | | | | | | | | | |
| Mobile* | | | | | | | | | | | | |
| E-Mail* | | | | | | | | | | | | |

Correspondence Address:

| | | | | | | | | | | | | |
|--------------------|--|--|--|--|--|--|--|----------|--|--|--|--|
| Address* | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| City: | | | | | | | | PIN: | | | | |
| State: | | | | | | | | Country: | | | | |
| Telephone:* | | | | | | | | | | | | |
| Mobile* | | | | | | | | | | | | |
| E-Mail* | | | | | | | | | | | | |
| Current Occupation | | | | | | | | | | | | |

Personal Details of the Proprietor/Director/Partner:

| | | | | | | | | | | | | | |
|----------------------------|---|---|---|---|---|---|---|----------|-----|---------|--|--|--|
| Name* | | | | | | | | | | | | | |
| Father's Name* | | | | | | | | | | | | | |
| Date of Birth* | D | D | M | M | Y | Y | Y | Y | PAN | | | | |
| Residential Address | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| City: | | | | | | | | PIN: | | | | | |
| State: | | | | | | | | Country: | | | | | |
| Telephone No.* | | | | | | | | | | Mobile* | | | |
| Educational Qualifications | | | | | | | | | | | | | |
| Occupation | | | | | | | | | | | | | |

Spouse Details (In case of Individual/ Proprietary):

| | | | | | | | | | | | | | |
|--|---|---|---|---|---|---|---|---|-----|--|--|--|--|
| Name* | | | | | | | | | | | | | |
| Date of Birth * | D | D | M | M | Y | Y | Y | Y | PAN | | | | |
| Educational Qualifications | | | | | | | | | | | | | |
| Occupation | | | | | | | | | | | | | |
| Housewife <input type="checkbox"/> Employed <input type="checkbox"/> Self Employed <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Others <input type="checkbox"/> | | | | | | | | | | | | | |

Information about Income, Investment and trading experience

| | | | | |
|--|--|-------------------------|--------------------------|-------------------------|
| Annual Income* | | Less than Rs. 1 Lac | | Rs. 1- Rs. 5 Lac |
| | | Rs. 5 - Rs. 10 Lac | | Rs. 10 Lac - Rs. 25 Lac |
| | | > Rs. 25 Lac | | |
| Annual Income in last 3 years: | | | | |
| (1) | (2) | (3) | | |
| No of Years of Experience | _____Yrs in stock | _____Yrs in derivatives | _____ Yrs in commodities | |
| Experience in the capacity of | Stock Broker <input type="checkbox"/> Sub Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person <input type="checkbox"/> Investor <input type="checkbox"/> Any Others (Please specify)_____ | | | |
| Experience in Working on Internet: _____ years | | | | |
| NCFM Certified | Basic <input type="checkbox"/> Capital Market (Dealer) <input type="checkbox"/> AMFI (Basic) <input type="checkbox"/> Derivatives (Dealer) <input type="checkbox"/> Commodities <input type="checkbox"/> AMFI (Advisors) <input type="checkbox"/> | | | |
| Name & Registration Nos. of NCFM certificates | Basic: | | CM (Dealer): | AMFI (Basic): |
| | Derivatives (Dealer): | | Commodities: | AMFI (Advisors): |

Please fill in the below table, if you have -Acted/are acting in the capacity of a Stock Broker / Sub Broker / Authorised Person / Remisier of any stock exchange, including a Regional Stock Exchange or a Commodity exchange.

| | | |
|----------------------------|----|----|
| Name of the Stock Exchange | 1. | 2. |
| Name of the Broker | 1. | 2. |
| Registration No. | 1. | 2. |
| Applicant Associated as | 1. | 2. |

Bank Account Details

| | | | |
|----------------|-----------------|-------------|--|
| Account Type | Savings/Current | Account No. | |
| Name of Bank | | | |
| Branch Address | | | |
| City | State: | PIN: | |
| MICR No. | | | |


DP Details

| | | | |
|---------|--|-------|--|
| DP Name | | | |
| DP ID | | BO ID | |

Business Potential

| | | |
|--|--|-----------|
| Number of Clients | Registered: | Active: |
| Cities/Towns where present | Existing: | Proposed: |
| Any other details | | |
| Current Business Module | Online <input type="checkbox"/> Offline <input type="checkbox"/> Both <input type="checkbox"/> | |
| Currently doing business for the following | MFs <input type="checkbox"/> NBFCs <input type="checkbox"/> Brokers <input type="checkbox"/> Insurance Cos <input type="checkbox"/> Banks <input type="checkbox"/> | |

I/We hereby apply to become a Business Associate of Maxgrowth Capital pvt ltd/ innovative Commodities Pvt. Ltd) for introducing clients and carrying on all the activities as a Business Associate. If appointed as a Business Associate, I/We agree to abide by the rules and regulations of Maxgrowth Capital pvt ltd / innovative Commodities Pvt. Ltd)and the Stock Exchanges and SEBI that may be in force from time to time. I/We hereby confirm that I and all people engaged in my/our organization are competent and capable of the work assigned to me/us. I/We declare that there have been no disciplinary proceedings ever against me/us by SEBI or any other regulatory authority or any stock exchange. I/We declare that the above information is true and fair to the best of my /our knowledge and belief and I undertake to inform you of any changes therein immediately. I/We further undertake to submit all necessary documentation, papers, proofs, and agreement/s as required by Maxgrowth Capital pvt ltd /innovative Commodities Pvt. Ltd) or Stock Exchanges or SEBI now or from time to time. I/We also authorize Maxgrowth Capital pvt ltd / innovative Commodities Pvt. Ltd) to withhold any sub brokerage/commission/fees/charges due to me/us, if any, till submission of the said documentation, papers, proofs, and agreement to the satisfaction of Maxgrowth Capital pvt ltd / innovative Commodities Pvt. Ltd) I/We agree that Maxgrowth Capital pvt ltd / innovative Commodities Pvt. Ltd) has the sole discretion to accept or reject this application. I/We agree that in case of rejection of this application or I/We failing to become Business Associate of Maxgrowth Capital pvt ltd / innovative Commodities Pvt. Ltd) for any reason whatsoever, any fees paid by me/us will not be refunded.


Signature with Stamp 

X

Introducers Details: (To be filled by Maxgrowth Capital pvt ltd)

| | |
|---------------|--|
| Name | |
| Employee. No. | |
| Region | |

I/We hereby recommend the application of _____ as a Business Associate of Maxgrowth Capital pvt ltd for introducing clients and carrying on all the activities as a Business Associate of Maxgrowth Capital pvt ltd. I/We hereby confirm that we have conducted the necessary due diligence as regards the financial conditions & the background of the above-mentioned applicant. He and all the people engaged in his organization are competent and capable of the work assigned to them. I/We declare that the above information provided by Business Associate is true and fair to the best of my /our knowledge. I/We declare that as per my/our knowledge and the information provided to me/us there have been no disciplinary proceedings ever against the said Business Associate by SEBI or any stock exchange or any other regulatory authority. He has not been declared a defaulter and has not been convicted of any offence (including economic offences) involving fraud or dishonesty or financial irregularities at any point of time. Further I/we have compared the originals of all documents with the copies of the same and found the same to be in order.

Signature with date 

X

Please attach the following:

In case of Individuals/Proprietors:

1. Certified true copy of Proof of identity.
2. Certified true copy of Proof of address (residence and office)
3. PAN Card, Educational Proof, Cancelled cheque with statement

In case of Corporates:

1. Proof of identity for each of the directors & passport size photograph.
2. Pages 2 & 3 to be collected for each of the directors.
3. Latest Shareholding Pattern.
4. Copy of Certificate of Incorporation.
5. Atleast 2 directors must have 2 years experience in the Capital Market.
6. Latest Annual Report

* Note: All the copies are to be “Certified True Copy” and “Self Attested”.