



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INSPECTION	
Download Ref.No.: NSE/INSP/2016/32807	Date : July 14, 2016
Circular Ref.No.: 285/2016	

To All Members

Sub : Simplification of Account Opening Kit

This has reference to Exchange circulars Ref No. NSE/INSP/18677 dated August 22, 2011, NSE/INSP/25392 dated December 26, 2013 and SEBI circulars no. CIR/MIRSD/16/2011 dated August 22, 2011; CIR/MIRSD/13/2013 dated December 26, 2013 regarding client registration documents.

In order to further simplify the process of client registration, SEBI has issued a circular no. CIR/MIRSD/64/2016 dated July 12, 2016 on the captioned subject wherein it is decided that members can make available the standard documents (Rights & Obligations, Risk Disclosure Document, Do's and Don'ts) to their clients either in electronic or physical mode as per the preference of the clients after maintaining appropriate proof of dispatch/logs.

The SEBI circular inter alia states that,

“the stock broker/ depository participant shall make available these standard documents to the clients, either in electronic or physical form, depending upon the preference of the client as part of account opening kit. The preference of the client shall be sought as part of the account opening form. In case the documents are made available in electronic form, stock broker/ depository participant shall maintain logs of the same.”

A copy of the circular is enclosed herewith.

Members are requested to take a note of the same.

In case of any clarifications, Members may contact our below offices:

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For and on behalf of
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