



JAMNADAS MORARJEE SECURITIES LTD.

**MEMBER : NATIONAL STOCK EXCHANGE OF INDIA LTD. (TM CODE NO. 90315)
BSE LIMITED (CLEARING NO. : 330)**

REGD. OFFICE : 203/204, 2ND FLOOR, STOCK EXCHANGE TOWER,
DALAL STREET, FORT, MUMBAI - 400 001.

Ph.: (022) 6633 2889 • Email : chandreshkampani@yahoo.com

Website : <https://jmsl.in> • CIN NO.: U67120MH1997PLC111193

SEBI REGN. NO. INZ000230932

CLIENT REGISTRATION FORM

CLIENT : _____

UNIQUE CLIENT CODE : _____

A/C OPENING DATE : _____

ADDRESS : _____

ACCOUNT OPENING KIT

Name of Stock Broker/Trading Member/Clearing Member :
JAMNADAS MORARJEE SECURITIES LIMITED

SEBI Regn. No. and Date : INZ000230932 Dt. 29.03.2019

Registered & Correspondence Office address :

203/204, 2nd Floor, Stock Exchange Tower,

Dalal Street, Fort, Mumbai - 400 001.

Ph.: (022) 6633 2889 • Email : chandreshkampani@yahoo.com

Website : <https://jmsl.in> • CIN NO.: U67120MH1997PLC111193

Compliance Officer Name, Phone No. & email ID :

Mrs. INA Deepak Mody, (022) 66332889, chandreshkampani@yahoo.com

Designated Director Name, Phone No. & email ID :

Chandresh Kampani, (022) 66332889, chandreshkampani@yahoo.com

Harses Kampani, (022) 66332889, harseskampani@jmsl.in

For any grievance/dispute, please contact Jamnadas Morarjee Securities Limited at the above address or email id : grievances@jmsl.in and Phone No. : 6633-2889. In case not satisfied with the response, please contact the concerned exchange(s) at ignse@nse.co.in and Phone No. (022) 2659-8190 for NSE and at is@bseindia.com, Phone No. (022) 2272-8097 for BSE.

You may also lodge your grievances with SEBI at <http://scores.sebi.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575, 1800 266 7575.

Filing complaints on SCORES - Easy & Quick

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES
 - i. Name, PAN, Address, Mobile Number, E-mail ID
- c. Benefits:
 - i. Effective Communication
 - ii. Speedy redressal of the grievances

Please refer SCORES website link <https://scores.gov.in/scores/Welcome.html> and the FAQs available thereon.

If the investor / client is still not satisfied with the outcome, he / she / they can initiate dispute resolution through the ODR Portal. Visit <https://smartodr.in/login> for the Online Dispute Resolution Portal.

PLEASE READ "JMSL" AS "JAMNADAS MORARJEE SECURITIES LIMITED" WHEREVER IT APPEARS.

JAMNADAS MORARJEE SECURITIES LIMITED

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Proprietary Clause:

Jamnadas Morarjee Securities Limited is engaged in client based business and Proprietary trading as well.

This disclosure is made in pursuance of SEBI Circular No. SEBI/MRD/SE/Cir-42/2003, issued on November 19, 2003.

Authorisation for Running Account and Retention of Funds / Securities

I/We hereby authorise the Trading Member to maintain a running account for funds and securities in respect of my/our trading account, subject to the following conditions:

- a) The Trading Member shall settle my/our funds and securities at least once in a calendar quarter/month, as opted by me/us, in accordance with SEBI and Exchange requirements.
- b) On the date of settlement, the Trading Member may retain such funds and/or securities as are required to meet my/our outstanding obligations and margin requirements for the next five trading days, calculated in the manner specified by the Exchanges.
- c) This authorisation may be revoked by me/us at any time by giving written notice to the Trading Member, subject to settlement of outstanding obligations, if any.
- d) This authorisation shall not override regulatory requirements relating to periodic settlement of funds and securities.

**Know Your Client (KYC)
Application Form (For Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also



CDSL VENTURES LIMITED

.....Exploring New Horizons



Application Number :

Application Type * : ☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card. ☐ Form 60 furnished

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers / Spouse's Name* _____

Date of Birth* _____

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other _____

Residential Status* ☐ Resident Individual ☐ Non Resident Indian

Please Tick (✓) ☐ Foreign National ☐ Person of Indian Origin

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the Individual)

Recent passport size
Applicant Photo

Cross Signature across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX _____

☐ B — Passport Number _____ (Expiry Date) _____

☐ C — Voter ID Card _____

☐ D — Driving License _____ (Expiry Date) _____

☐ E — NREGA Job Card _____

☐ F — NPR _____

☐ Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details * (please refer guidelines overleaf)

A. Correspondence / Local Address *

Line 1 * _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1 *

Line 2

Line 3

City/Town/Village* District* Pin Code*

State* Country*

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified**Proof of Address*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)☐ A — Aadhaar Card XXXX XXXX ____ ____ ____☐ B — Passport Number (Expiry Date)☐ C — Voter ID Card☐ D — Driving License (Expiry Date)☐ E — NREGA Job Card☐ F — NPR☐ Z — Others (any document notified by Central Government)

Identification Number

3. Contact Details (in CAPITAL)

Email ID *

Mobile No. *

Tel. (Off.) Tel. (Resi.)

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE : (DD/MM/YYYY)

PLACE :

Applicant e-SIGN

Applicant Wet Signature

5. For Office Use Only

In-Person Verification (IPV) carried out by*

Intermediary Details *

IPV Date

Emp. Name **FALGUNI PATEL**Emp. Code **ARDPP6135F**Emp. Designation **MANAGER**☐ Self certified document copies received (OVD)☐ True Copies of documents received (Attested)

AMC / Intermediary Name :

JAMNADAS MORARJEE SECURITIES LIMITED

Employee Signature and Stamp

Institution Name and Stamp

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes - Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government de-partments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card/document with address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card.

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

2. EKYC OTP

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

Know Your Client (KYC)**Application Form (For Non-Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

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Application Number :

Application Type * : ☐ New KYC ☐ Modification KYC**1. Entity Details** (please refer guidelines)

PAN* _____ Please enclose a duly attested copy of your PAN Card.

Name* (same as ID proof) _____

Date of Incorporation* _____ Place of Incorporation* _____

Date of Commencement* _____ Registration Number* _____

Entity Type* ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership
☐ Trust/Charity/NGO ☐ HUF ☐ FPI Category I ☐ FPI Category II
☐ AOP ☐ Bank ☐ Government Body ☐ Defence Establishment
☐ Body of Individuals ☐ Society ☐ LLP
☐ Non-Government Organization ☐ Others _____

2. Proof of Identity* (please refer the guidelines)

☐ Officially Valid Document(s) in respect of person authorized to transact
☐ Certificate of Incorporation/Formation _____ ☐ Registration Certificate _____
☐ Memorandum of Articles and Association ☐ Partnership Deed ☐ Trust Deed
☐ Board Resolution ☐ Power of attorney granted to its manager, office, employees to transact on its behalf
☐ Activity Proof - 1* (For Sole Proprietorship Only) ☐ Activity Proof - 2* (For Sole Proprietorship Only)

3. Address Details * (please refer guidelines overleaf)**A. Registered Address ***

Line 1 * _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

B. Correspondence/Local Address in India (if different from above)*

Line 1 * _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Applicant Digital Signature (DSC)

Proof of Address* (attested copy of any one POA to be submitted - #Not more than 3 months old)

- ☐ Certificate of Incorporation/Formation ☐ Registration Certificate ☐ Other document _____
- ☐ Latest Telephone Bill# (Landline only) ☐ Latest Electricity Bill# ☐ Latest Bank Account Statement#
- ☐ Registered Lease/ Sale Agreement of Office Premises Validity/Expiry Date of POA (Expiry Date) _____
- ☐ Any other proof of address document (as listed overleaf) _____

3. Contact Details (in CAPITAL)

Email ID _____ Mobile No. _____

Email ID _____ Mobile No. _____

Tel.(Off.) _____ Fax _____

5. Annexures Submitted

Number of Related Persons -

6. Remarks / Additional Information

7. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/ We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/ Email on the above registered number/Email ad-dress.

DATE : _____ (DD/MM/YYYY)

PLACE : _____

Applicant Digital Signature (DSC)

Applicant Wet Signature

8. For Office Use Only

KYC carried out by*

Intermediary Details*

KYC Date _____

Emp. Name **FALGUNI PATEL**

Emp. Code **ARDPP6135F**

Emp. Designation **MANAGER**

☐ Self certified document copies received (Originals Verified)

☐ True Copies of documents received (Attested)

AMC / Intermediary Name OR Code:

JAMNADAS MORARJEE SECURITIES LIMITED

Employee Signature and Stamp

Institution Name and Stamp

**Know Your Client (KYC)
Annexure (For Non-Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also



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Application Number :

Application Type * : ☐ New KYC ☐ Modification KYC

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card.

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers / Spouse's Name* _____

Date of Birth* _____

Gender* ☐ Male ☐ Female ☐ Transgender

Nationality* ☐ Indian ☐ Other _____

Related Person Type*

☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official Proprietor

☐ Beneficiary ☐ Authorized Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder

☐ Others _____ (please specify)

DIN: _____ (mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX ____

☐ B — Passport Number _____ (Expiry Date) _____

☐ C — Voter ID Card _____

☐ D — Driving License _____ (Expiry Date) _____

☐ E — NREGA Job Card _____

☐ F — NPR _____

☐ Z — Others _____ (any document notified by Central Government)

Identification Number _____

Applicant Photo

2. Address Details * (please refer guidelines overleaf)

A. Correspondence / Local Address *

Line 1 * _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1 *

Line 2

Line 3

City/Town/Village* District* Pin Code*

State* Country*

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified**Proof of Address*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)☐ A — Aadhaar Card XXXX XXXX _ _ _ _☐ B — Passport Number (Expiry Date)☐ C — Voter ID Card☐ D — Driving License (Expiry Date)☐ E — NREGA Job Card☐ F — NPR☐ Z — Others (any document notified by Central Government)

Identification Number

3. Contact Details (in CAPITAL)

Email ID *

Mobile No. *

Tel. (Off.) Tel. (Resi.)

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE : (DD/MM/YYYY)

PLACE :

Applicant e-SIGN

Applicant Wet Signature

5. For Office Use Only

KYC carried out by*

Intermediary Details *

KYC Date

Emp. Name **FALGUNI PATEL**Emp. Code **ARDPP6135F**Emp. Designation **MANAGER**☐ Self certified document copies received (OVD)☐ True Copies of documents received (Attested)**JAMNADAS MORARJEE SECURITIES LIMITED**

Employee Signature and Stamp

Institution Name and Stamp

Instructions/Guidelines for filling Non-Individual KYC Application Form

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India

3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. Proof of address in name of spouse may be accepted.
6. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
7. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

F. Online Mode Processing of KYC:

1. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be digitally signed using DSC.
- Intermediary attestation on documents (OSV) is exempted.

Type of Entity	Additional Documents Required over and above PAN, POI and POA
Corporate	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulations, duly certified by the company secretary / whole time director/ MD (to be submitter every year). • Photograph, POI, POA, PAN and DIN number of the whole time Director / 2 directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copy of Memorandum and Articles of Association and Certificate of Incorporation. • Copy of Board Resolution for Investment in security markets. • Authorized signatories list with specimen signatures. • Shareholding pattern.
Partnership Firm	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered partnership firms only). • Copy of Partnership Deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Shareholding pattern.
Trust	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered Trusts only). • Copy of Trust Deed. • List of Trustees certified by Managing Trustees/ CA • Photograph, POI, POA, PAN of Trutees.
HUF	• PAN of HUF. • Deed of Declaration of HUF or List of Co-Parceners. • Bank Passbook / Bank statement in the name of HUF. • Photograph, POI, POA, PAN of KARTA.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures.
Unincorporated Association or a Body of Individuals	• Proof of existence or Constitution document. • Resolution of Managing Body and power od Attorney granted to transact business on its behalf.
Army / Government Bodies	• Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Army/Government Bodies	• Self certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Society Registration Act. • List of managing committee members. • Committee Resolution for persons authorized to act as authorised signatories with specimen signatures. • True copy of society rules and by-laws certified by Chairman/Secretary.
FPI Category I	• FPI Certificate • Constitution Documents • Copy of Board Resolution (optional) • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) • Authorized signatories list with specimen signatures.
FPI Category II	• FPI Certificate • Constitution Documents • Copy of Board Resolution • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity • Authorized signatories list with specimen signatures.

Tel. (Off) - Tel. (Res) - Mobile* -

Email ID*

[illegible]

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[illegible]

Signature / Thumb Impression of Applicant

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC

KYC documents verification carried out by										Institution details																													
Date:		D D		-		M M		-		Y Y		Y Y		Y Y		Y Y		Name		JAMNADAS MORARJEE SECURITIES LIMITED																			
Emp. Name		FALGUNI PATEL																																					
Emp. Code		ARDPP6135F																																					
Emp. Designation		MANAGER																																					
Emp. Branch		BSE - STOCK EXCHANGE																																					
[Employee Signature]																				[Institution Stamp]																			

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successful for a client and client wants to provide a current address different from the address as per the identity information available in the Central Identities Data Repository

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/ Other than Individuals

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only

Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

1. ENTITY DETAILS* (Please refer instruction A at the end)

☐ Name*

Entity Constitution Type*

☐ Others (Specify)

(Please refer instruction B at the end)

Date of Incorporation / Formation*

Date of Commencement of Business

Place of Incorporation / Formation*

Country of Incorporation / Formation*

PAN *

☐ Form 60 furnished

TIN / GST Registration Number

2. PROOF OF IDENTITY (PoI)* (Please refer instruction B at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn Certificate No.

☐ Memorandum and Articles of Association

☐ Partnership Deed

☐ Trust Deed

☐ Resolution of Board / Managing Committee

☐ Power of Attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)

3. ADDRESS* (Please see instruction C at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address*

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

☐ Other Document

Line 1*

Line 2*

Line 3*

District*

PIN / Post Code*

State / U.T. Code*

ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2*

Line 3*

District*

PIN / Post Code*

State / U.T. Code*

ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile number/Email-ID provided may be used) (Please refer instruction D at the end)

Tel. (Off)

Fax

Mobile

Email ID

Mobile

Email ID

5. NUMBER OF RELATED PERSONS ☐ (Please refer instruction E at the end)

☐ 6. REMARKS (If any)

7. APPLICANT DECLARATION (Please refer instruction G at the end)

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am aware that I may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date :

D	D
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M	M
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Y	Y	Y	Y
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[illegible]

Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Equivalent e-document ☐

KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date - -

Emp. Name	FALGUNI PATEL
-----------	---------------

Emp. Code	ARDPP6135F
-----------	------------

Emp. Designation	MANAGER
------------------	----------------

Emp. Branch	BSE - STOCK EXCHANGE
-------------	----------------------

[Employee Signature]

INSTITUTION DETAILS

Name **JAMNADAS MORARJEE SECURITIES LIMITED**

[illegible]

Institution Stamp

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only Application Type* New Update Delete

(To be filled by financial institution) KYC Number

(Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

- ☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Sane as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Nationality*	☐ IN- Indian	☐ Others (ISO 3166 Country Code)		
PAN*				☐ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhaar
 II ☐ E- KYC Authentication
 III ☐ Offline verification of Aadhaar

☐ PHOTO*



Address

Line 1*	
Line 2	
Line 3	
District*	
Pin/Post Code*	
State/U.T Code*	
City / Town / Village*	
ISO 3166 Country Code*	

1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhaar
 II ☐ E- KYC Authentication
 III ☐ Offline verification of Aadhaar
 IV ☐ Deemed PoA
 III ☐ Self Declaration

Address

Line 1*																											
Line 2																											
Line 3																											
District*							Pin/Post Code*						State/U.T Code*			City / Town / Village*									ISO 3166 Country Code*		

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off)							Tel. (Res)							Mobile													
Email ID																											

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Signature / Thumb Impression of Applicant																										
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Date :

D	D	—	M	M	—	Y	Y	Y	Y
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 Place:

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3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC Process ☐ Equivalent e-document

IPV DONE / KYC VERIFICATION CARRIED OUT BY

Date

D	D	—	M	M	—	Y	Y	Y	Y
---	---	---	---	---	---	---	---	---	---

Emp. Name

FALGUNI PATEL																										
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Emp. Code

ARDPP6135F																										
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Emp. Designation

MANAGER																										
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Emp. Branch

BSE - STOCK EXCHANGE																										
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(Employee Signature)

INSTITUTION DETAILS

Name

JAMNADAS MORARJEE SECURITIES LIMITED																										
--------------------------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Code

I	N	0	3	8	4																								
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(Institution Stamp)

**FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES/TRUSTS
ON LETTER HEAD**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS/ TRUSTEES OF _____ LTD./ TRUST AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY OF _____ 20 ____ AT _____ AM/ PM.

"RESOLVED THAT the Company/ Trust be registered as Client with Jamnadas Morarjee Securities Limited Members of Bombay Stock Exchange Ltd. (BSE) and National Stock Exchange of India Ltd. (NSE), for the purpose of dealing in equities, derivatives, debentures, debts and other products and the said Member be and is hereby authorised to honour instructions oral or written, given on behalf of the Company/ Trust by any of the following authorised signatories:

Sr. No.	Name	Designation	Specimen Signature
---------	------	-------------	--------------------

1.

2.

3.

who are authorised to sell, purchase, transfer, endorse, negotiate and/ or otherwise deal with/ through Jamnadas Morarjee Securities Ltd. on behalf of the Company/ Trust.

RESOLVED FURTHER THAT Mr. _____ and/ or Mr. _____ Directors/ Trustees of the Company/ Trust be and are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT all the Directors would have authority to act on behalf of the Company and actions of any directors will be binding on the Company.

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of any one/ two Directors of the Company and Company Secretary who shall sign the same in token of their presence."

Certified true copy

For _____

Chairman/ All Trustees

CONSENT LETTER

Dear Sir / Madam

I/We _____,
give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the
purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records / Personal information such as my Name,
Address, Date of Birth, PAN Number etc.

Signature_____

Date _____

FORMAT OF DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTERHEAD

Date :

To,

Jamnadas Morarjee Securities Limited

203 / 204, Stock Exchange Towers,
2nd Floor, Dalal Street,
Fort, Mumbai - 400 001.

Dear Sirs,

In reference to our present/ proposed dealings with you as your constituent, we declare and authorise you as under:

1. We hereby authorise Mr./Ms. _____ or Mr./Ms. _____, partners of the firm singly to execute/ sign and submit various papers and documents and to sell, purchase, transfer, endorse and negotiate and do all other things that may be necessary to engage in business with Jamnadas Morarjee Securities Ltd., Members of BSE,NSE,CDSL & MCX-SX at cash & derivatives segment, currency derivative segment, depository services, debentures, debts and other products on behalf of the firm and to sign the authority letter for acceptance on my/our behalf.
2. We recognise that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per law. To facilitate the completion of securities transfer obligations pursuant to dealings with you, we authorise you to recognise the beneficiary account no. _____ with depository participant _____ (DP ID _____) opened as a joint account in the names of the partners of the firm. We recognise and accept transfers made by you to the said beneficiary account as complete discharge of obligations by you in respect of our dealings with you.
3. However we agree that all the partners have implied authority to act on behalf of the firm and actions of any other partner will be binding on the firm.

Thanking you,

Names of all Partners	Signatures

TRADING ACCOUNT RELATED DETAILS - FOR INDIVIDUALS & NON-INDIVIDUALS

BANK ACCOUNT(S) DETAILS		
	First Bank Details	Second Bank Details
Bank Name		
Branch Address		
Bank A/ No.		
A/c Type	☐ Saving Current ☐ Others-in case of NRI/NRE/NRO	☐ Saving Current ☐ Others-in case of NRI/NRE/NRO
MICR No.		
IFSC Code		
DEPOSITORY ACCOUNT(S) DETAILS		
	First Demat A/c Details	Second Demat A/c Details
Depository Participant Name		
Depository Name	☐ NSDL ☐ CDSL	☐ NSDL ☐ CDSL
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		
TRADING PREFERENCES - Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.		
Exchange	Segment	Signature
NSE & BSE	- All Segments	✓
	- Cash	✓
	- Mutual Fund	✓
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____ _____		

OTHER DETAILS			
Gross Annual Income Details (please specify)			
Income Range per annum	☐ Below ₹ 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs-1 crore ☐ > 1 crore		
Net-worth		as on (date)	
(Net worth should not be older than 1 year)		(dd/mm/yyyy)	
Occupation (Individuals)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business		
(Please tick any one	☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student		
and give brief details)	☐ Others _____		
Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors		☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)	
PAST ACTIONS			
Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners / promoters / whole time directors / authorized persons in charge of dealing in securities during the last 3 years			
DEALINGS THROUGH AUTHORISED PERSON OR OTHER STOCK BROKERS			
Whether dealing with any other stock broker / AP (in case dealing with multiple stock brokers / APs, provide details of all)			
Name of stock broker			
Name of AP, if any		AP Regn. No.	
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker / AP			
Details of disputes/dues pending from/to such stock broker/authorised person			
ADDITIONAL DETAILS			
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)			
☐ Physical ☐ Electronic, Specify your Email id, if applicable :			
Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document (RDD) and Guidance Note, (please specify) ☐ Physically ☐ Electronically			
Please note that these documents are also available in certain vernacular languages on demand.			
Whether you wish to avail of the facility of internet trading / wireless technology (please specify)			
☐ YES ☐ NO			
Number of Years of Investment / Trading Experience			

Any other Information	
INTRODUCER DETAILS (optional)	
Name of the Introducer	
	(Surname) (Name) (Middle Name)
Status of the Introducer	☐ Remisier ☐ Authorized Person ☐ Existing Client
	☐ Others, Please Specify
Address and Phone No.	
of the Introducer	
Signature of the Introducer	✓

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place : _____

Date : _____

✓ _____
Signature of Client / (all) Authorized Signatory (ies)

FORMAT OF DECLARATION BY SOLE PROPRIETORSHIP FIRM
(To be given on letterhead)

Date :

To,

Jamnadas Morarjee Securities Limited

203 / 204, Stock Exchange Towers,

2nd Floor, Dalal Street,

Fort, Mumbai - 400 001.

Dear Sirs,

I refer to the trading account opened with you in the name of _____ and declare and authorize you as under.

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account no.: _____ with depository _____ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and / or sold by the firm will be handled and completed through transfers to from the above mentioned account. I recognize and accept transfers made by you in respect of trades executed in the above trading account of the firm.

Signature  _____
(Please sign with Stamp of the firm)

FORMAT OF HUF DECLARATION
(To be given by the HUF on its letterhead)

To,

Jamnadas Morarjee Securities Limited

203 / 204, Stock Exchange Towers,

2nd Floor, Dalal Street,

Fort, Mumbai - 400 001.

Dear Sir/Madam,

SUB : DECLARATION BY THE CO-PARCENERS OF THE HUF AUTHORIZING THE
KARTA TO TRADE ON THEIR BEHALF.

I/We the members of _____ (name of HUF) do not have any objection to open a Share Trading A/c with Jamnadas Morarjee Securities Limited.

And authorize _____ (name of the Karta) to trade on our behalf.

Name of Family Member	Relations	Signature	Date of Birth
1			
2			
3			
4			
5			

Yours truly,

For _____ (Name of the HUF)

Karta.

FORM FOR NOMINATION

I/We wish to make a nomination. [As per details given below]			
Nomination Details			
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.			
Nomination can be made upto three nominees in the account	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1. Name of the Nominee(s) (Mr./Ms.)*			
2. Share of each Nominee Equally [If not equally, please specify percentage]	%	%	%
	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3. Relationship with the Applicant (if any)			
Non-mandatory Details			
4. Address of Nominee(s) / Guardian in case of Minor City / Place State & Country PIN Code			
			
5. Mobile / Telephone No. of Nominee(s) / Guardian in case of Minor			
6. Email ID of Nominee(s) / Guardian in case of Minor			
7. Nominee / Guardian (in case of Minor) Identification Details [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank A/c No. ☐ Proof of Identity ☐ Demat Account ID			
Name and Signature of Holder(s)*			
1 ✓ _____	2 ✓ _____	3 ✓ _____	
(Sole / First Holder)	(Second Holder)	(Third Holder)	

	Name(s) of holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		✓
Second Holder (Mr./Ms.)		✓
Third Holder (Mr./Ms.)		✓

Witness

Signature _____

Name _____

Address _____

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

Notes : This nomination shall supersede any prior nomination made by the account holder(s), if any.
The Intermediary shall provide acknowledgement of the Nomination Form to the account holder(s).

DECLARATION FOR OPTING-OUT OF NOMINATION

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

Name and Signature of Holder(s)*

1 ✓ _____ 2 ✓ _____ 3 ✓ _____
(Sole / First Holder) (Second Holder) (Third Holder)

Witness

Signature _____

Name _____

Address _____

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Documents verified with Originals	Client Interviewed By
Name of the Employee		
Employee Code		
Designation of the employee		
Date		
Signature		

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the nonmandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of the Authorised Signatory

Date : _____

Seal/Stamp of the stock broker

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list :

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals :
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / authorised person's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do inperson verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals :
 - a. Form need to be initialled by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.

POLICIES & PROCEDURES

a) Refusal of Orders for Penny / illiquid Stocks

The Trading Member may from time to time limit (quantity / value) / refuse orders in one or more securities including T 2 T/ Z Category shares due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the Trading Member / exchange(s) / SEBI. Provided further that Trading Member may require compulsory settlement / advance payment of expected settlement value, delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.

The Trading Member may require reconfirmation of orders, which are larger than that specified by the Trading Member's risk management, and is also aware that the Trading Member has the discretion to reject the execution of such orders based on its risk perception.

b) Setting up Client's Exposure Limits

M/s. JAMNADAS MORARJEE SECURITIES LIMITED (hereinafter referred to as "JMSL") may give an exposure limit which would be a multiple (based on VAR) of the clear ledger balance in the account plus compulsory cash margin component (% to be decided by JMSL from time to time) plus value of the shares given as collaterals computed after applying appropriate haircut. In F&O segment exposure is given on the value of initial margin, after applying appropriate haircut on the securities given as collateral. The exposure limit may be changed based on the volatility in the market and quality of collaterals.

JMSL may set different exposure limits varying for different clients depending on the credit worthiness, integrity and past conduct of the client. The client agrees that JMSL shall not be responsible for such variation, reduction or imposition or the clients inability to route any order through JMSL's trading system on account of any such variation, reduction or imposition of limits.

c) Applicable Brokerage Rate

JMSL follows the policy of charging brokerage not more than the maximum permissible brokerage as per the rules and regulation of the exchange/ SEBI. Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration. The brokerage slab of a client shall be reviewed at intervals after assessment of the amount and quality of volume generated by the client as per his commitment. The rates may be increased with prospective effect with prior notice and sent to the E-mail address or postal address of the client registered with JMSL. The brokerage amount debited to the client does not include any exchange related charges or statutory levies as applicable. Any other applicable charges & taxes (present & future) imposed by statutory authority or otherwise including securities transaction taxes, duties, GST and all incidental expenses etc will be paid by the client separately as may be levied on the transactions from time to time.

d) Imposition of Penalty/Delayed Payment Charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Clients will be liable to pay late pay in/delayed payment charges not exceeding 2% per month for not making payment of their pay-in obligation / margin on time as per the exchange requirement or net ledger debit balance as applicable.

The client agrees that JMSL may impose fines/penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/rules/regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where JMSL has to pay fine or bear any punishment from any authority in connection with/as a consequence of/ in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client.

e) The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation)

JMSL shall be entitled to liquidate client's securities including and not limited to unpaid securities, collateral and etc. towards margins or close out client's open position, without giving notice to the client for non-payment of margins or other amounts including the pay-in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations. Any surplus realised against the same shall be credited to client's account & any and all losses and financial charges on account of such liquidations/closing out shall be charged to and borne by the client.

In case the payment of the margin/security is made by the client through a bank instrument, JMSL shall have absolute discretion to give the benefit/credit for the same only on the realization of clear proceeds in JMSL bank account. Where the margin/security is made available by way of securities or any other property, JMSL is empowered to decline its acceptance as margin/security and/or accept it at such reduced value as JMSL may deem fit by applying haircuts or by valuing it by marking it to market. The stock broker has the sole discretion to decide referred stipulated margin percentage depending upon the market conditions.

In event of death or insolvency of the client, JMSL may close out all outstanding positions of the client, adjusting the loss incurred on such closures with the margin deposited by the client and claim further shortfalls, if any, against the estate of the client. The successors or heirs of the client shall be entitled to any surpluses which may result there from.

The above action is at the sole discretion of JMSL and may vary from client to client. It shall not be under any obligations to undertake the exercise compulsorily. JMSL shall therefore not be under any obligation to compensate or provide reasons of any omission or delay on its part to sell client's securities or close open positions of the client.

f) Shortages in obligations arising out of internal netting of trades

Policy for settling shortage in obligation arising out of internal netting of trades is as under:

The securities delivered short are purchased from the market on T+2 day and the purchase consideration (including all statutory taxes, brokerages & levies) along with a penalty is debited to the short delivering seller client. In case the shares are not available for purchase for any reason then the shortage will be closed out as per the prevailing rules of the respective exchanges along with a penalty, if any decided time to time.

g) Condition under which a client may not be allowed to take further position or the broker may close the existing position of a client

- Client unable to meet his pay-in obligation as per exchange requirement irrespective of the value of collaterals available.
- Long pending debit balance in the client's account.
- Margin shortfall not compensated by the client.
- Dishonor of Cheque
- Client dealing in "illiquid" stock as declared by JMSL.
- Transactions which may appear to be suspicious in nature.
- Where Client's margin is evaporated in excess of required limit (as decided by JMSL time to time) in any of the exchanges or where broker wise / client wise exposure exceeds in any securities/ exchanges.
- Where broker's terminal is under square off mode / suspended / freezed for any reason.
- Where based on the happening of an event, JMSL has a risk perception that further trading in the contracts/ securities may not be in the interest of the clients and /or the market.

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margins / securities or the order being outside the limits set by stock broker / exchange / SEBI and any other reason which the stock broker may deem appropriate in the circumstances.

h) Temporarily Suspending or Closing a Client's account at the clients request

JMSL may carry out periodic review of the client accounts and may suspend the accounts from trading (i.e. prohibiting any market transactions, only allowing client shares/ledger balance settlement to take place) under any of the following circumstances and not limited to -

- Where the Client is inactive for the last 24 months.
- Where the Client has not cleared his dues after repeated reminders
- Where Physical statements or contract notes, etc are received back undelivered and the client is not responding to update the correct address.

- Where the client is reported or known to have expired.
- Where client lodges a complaint either directly with JMSL or through the Exchange relating to alleged unauthorized Trades being executed in his account.
- Where the account is under investigation by any regulatory body.
- As per direction of the Exchanges, SEBI or any other regulatory body.
- On written request received from the client and the same can be activated on the written request of the client only.
- Where client has not complied with the guidelines as provided in PMLA regulations / yearly review process.

The Client account can be closed on the written request of the client provided the client account is settled. If the client wants to reopen the account then the client has to again complete the KYC requirement.

i) Deregistering a client

Notwithstanding anything to the contrary stated in the agreement, JMSL shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- If the action of the client are prima facie illegal/improper or such to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- On the death/lunacy or other disability of the Client.
- If the client being a partnership firm/any other organization, has any steps taken by the Client and/or its partners for dissolution or liquidation.
- If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock Broker.
- If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security.
- If the Client is in breach of any term, condition or covenant of this Agreement.
- Any suspicious information found by JMSL in sites like CIBIL, world check, etc or if there is any commencement of a legal process against the client under any law in force.
- If the client forms a part of the list of debarred entities published by SEBI and/or any action is taken by NSE / BSE /SEBI on the client.
- JMSL reserves the right to deregister a client after giving 30 days notice to the client without specifying any reason whatsoever. JMSL may freeze the assets of the client where it deems prudent and shall have the right to close out the existing positions, sell all the collaterals to recover its dues, if any, before deregistering the client.

Inactive client account will be considered as inactive if the client does not trade for a period of 24 months. Calculation will be done at the beginning of every month and a written request has to be made by the client for reactivation of their account.

Client Acceptance of Policies and Procedures stated hereinabove

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses in this document under any circumstances whatsoever. These Policies and Procedures may be amended/changed by giving 15 days notice by the broker, provided the change is informed to me/us through any one or more means/ methods. In case I / we continue to deal with the broker subsequent to the intimation of such amendment, it shall be deemed that I / we is agreeable to the new clauses. I/we agree never to challenge the same on any grounds including delayed receipt / non-receipt or any other reason whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and JMSL before any court of law/judicial / adjudicating authority including arbitrator / mediator etc.

POLICY ON FREEZING / BLOCKING CLIENT ACCOUNT

- 1. Background :** SEBI vide circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, BSE Notice No. 20240408/12 Dated April 08, 2024 and NSE Circular No. NSE/INSP/61529 Dated April 08, 2024 regarding Framework for Trading Members to provide the facility of voluntary freezing/ blocking of online access of the trading account to their clients.

It is pertinent to mention that:

- Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.
 - The request for freezing/ blocking does not constitute request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records.
- In view of the above the company has framed the following policy governing the outline of the modus operandi. In addition to branch trading the company is extending the facility of internet trading through browser based and EXE based followed by mobile trading. Presently we will be providing the following method of communications through which the client may request for voluntary freezing/ blocking of the online access of trading account if any suspicious activity is observed in the trading account:-
 - Email from registered e-mail ID: A dedicated email ID jm@jmsl.in has been opened where client can send their request for freezing/ blocking from their email ID registered with us. Clients are requested to send their freezing/ blocking request without any ambiguity along with UCC. Similarly, for un-freezing/ un-blocking, clients are requested to send their request at the email ID jm@jmsl.in from their registered email ID mentioning the same. Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered email ID or sent to any other email ID of the company.
 - SMS from registered mobile number: A dedicated mobile number 91678-35261 has been assigned where client can send their request for freezing/ blocking from their mobile number registered with us. Clients are requested to send their freezing/ blocking request in the following manner:
 - For freezing/ blocking type: **"BLOCK" FOLLOWED BY UCC WITHOUT SPACE** Example: if your UCC is A123 then message will be **"BLOCKDAA123"** and send it to **91678-35261**.
 - For un-freezing/ un-blocking type: **"UNBLOCK FOLLOWED BY UCC WITHOUT SPACE"** Example: if your **UCC is DAA123** then message will be **"UNBLOCKDAA123"** and send it to **91678-35261**.

Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered mobile number or sent to any other mobile number of the company.

- The company shall take the following actions on the receipt of such request through any modes of communications for freezing/blocking of the online access of the trading account from the client:
 - Verify whether request is received from the registered mobile number/e-mail ID of the client;
 - Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
 - Issue the acknowledgement to the registered email ID or mobile number of the client stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.
 - Details of open positions (if any) would also be communicated to registered email ID of the client along with contract expiry information within one hour from the freezing/blocking of the trading account.

- The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgements well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading hour.	Within 15 minutes of receiving the request.
Request received after the trading hours and 15 minutes before the closure of trading hour.	Before the start of next trading session

4. The company shall maintain the appropriate records/logs including request received to freeze/ block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, and sent them to the clients for the time limit as prescribed by the Regulator.
5. **Re-enabling the client for online access of the trading account :-** The Trading Member shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

✓ _____
Signature of the Client

Most Important Terms and Conditions (MITC)

As required by SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/180 dt.13.11.2023
(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

✓ _____
Signature of the Client

AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS

Date : _____

To,
JAMNADAS MORARJEE SECURITIES LIMITED
203/204, 2nd Floor, Stock Exchange Tower,
Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. As required by SEBI Circular, my/our funds at EOD shall be upstream to CC/CM on daily basis. Further, any request made for release of funds shall be processed within same day if request is made by 2 p.m. and on the next trading day, if request is received after 2 p.m.
2. I/we understand and agree that no interest will be payable to me/us on the funds so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize Jamnadas Morarjee Securities Limited to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. Excess margins deposited towards one exchange / segment may be adjusted, on a running basis towards margin requirement / debit balance in same / other exchange / segment, where I/we have the client account.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I / we hereby authorize you to deposit my / our funds deposited as margin to exchange / Clearing Corporation.
7. I/we may revoke the authorisation at any time by giving a written notice.
8. I/we also agree that the actual settlement of fund and securities shall be done by us across all the Exchanges on First Friday of each Month or each Calendar quarter, as preference given below. If the Friday, as aforesaid, falls on a holiday, then the settlement shall be done one day earlier, i.e. on Thursday. The statement of account for the same will be provided to me by Jamnadas Morarjee Securities Limited
9. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
10. I/we agree that (a) in respect of derivatives market transactions, the Trading Member may retain funds calculated in the manner specified below:
 - i) Entire pay-in obligation of funds outstanding at the end of the day on date of settlement, across all segments.
 - ii) Member may retain 50% of End Of the Day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallised obligation/MTM.
 - iii) Apart from 50% Cash Margin mentioned in Point No. 10(ii) above, Member may also retain 225% of EOD Margin (which includes additional 125% Margin) reduced by 50% Cash Margin and the value of securities (after applying appropriate haircut) accepted as collateral from the Clients by way of 'margin pledge' created in the Depository System for the purpose of margin and value of commoditized (after applying appropriate haircut). The margin liability shall include the End Of the Day Margin requirement in all the segments across Exchanges excluding the margin on consolidated crystallised obligation/MTM. The margin liability may also include the margin collected by the Member from its Clients as per the Risk Management Policy as informed to the Clients.
11. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
12. I/we shall bring any dispute arising from the statement of account or settlement so made to the Notice of the Trading Member preferably within 30 working days from the date of receipt of funds / securities or statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS)

Settlement Preferences	☐ Monthly	☐ Quarterly
------------------------	----------------------------------	------------------------------------

Thanking you,

Yours truly,

✓ _____
Signature of the Client

VOLUNTARY

MANDATE TO ISSUE DOCUMENTS IN ELECTRONIC FORMAT

Date : _____

To,
JAMNADAS MORARJEE SECURITIES LIMITED
203/204, 2nd Floor, Stock Exchange Tower,
Dalal Street, Fort, Mumbai - 400 001.

I/We are a client with **Jamnadas Morarjee Securities Limited** and my/our Trading Client Code is _____. With reference to SEBI circular No. MRD/Dop/SE/Cir-20/2005 dated September 08, 2005, I/we are desirous to avail the facility of Electronic Contract Notes.

I/We would request you that henceforth i.e. from _____ onwards you are requested to send my/our contract notes/trade confirmations through email on my/our.

E-mail ID (1) : _____

E-mail ID (2) : _____

You are also requested to send the copies of the daily/quarterly/periodical ledger statements of accounts for funds and securities, margin statement, holding statements, bills/notice/circulars and other documents/communications, meant for me/us on this e-mail ID on a regular basis.

I/We shall ensure that this email ID is kept valid and any change in my/our above email ID shall be communicated to you in writing. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/email id(s). I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc. I/ We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

I/We am/are also aware that copies of the contract notes are also available in JMSL website for. In case of non-receipt of mails the same will be intimated to JMSL immediately in writing.

In case I/we wish to withdraw this facility I/we shall inform JMSL in writing at least one week in advance from the date of withdrawal.

Thanking you,

Yours truly,

✓ _____

Signature of the Client

DECLARATION / LETTER OF UNDERSTANDING

Date : _____

To,
JAMNADAS MORARJEE SECURITIES LIMITED
203/204, 2nd Floor, Stock Exchange Tower,
Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

1. I/We authorise JMSL to set off outstanding in any of my/our accounts against credits available or arising in any other account maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to JMSL by us.
2. I/We hereby authorise JMSL not to provide me Order Confirmation/Modification/Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request JMSL to kindly accept my/our mandate holder's verbal orders/instructions in person or over phone and execute the same. I/We shall get the required details from the contract notes issued by you. I/We understand the risk associated with placement of verbal orders and accept the same. I/We shall not disown orders under the plea that the same was not placed by me. I/We indemnify JMSL and keep you indemnified against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my/our orders placed verbally. In case I wish to withdraw this consent I shall inform JMSL in writing and get the same acknowledged by JMSL at least one week in advance from the date of withdrawal.
3. I/We hereby authorise JMSL to deposit securities received from me/us or purchased through JMSL lying in my/our account to the Stock Exchange(s)/ICCL or their custodian appointed by them for the purpose of margin/other obligation and/or to facilitate my/our transaction in the normal course of securities business. Further, JMSL shall release the securities to me/us on my/our request, if the same is releasable to me/us.
4. Trading of all Exchanges is in Electronic Mode, based on VSAT, Leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing of buy or sell orders either in part or in full. I/We shall be fully liable and responsible for any such problems/fault and shall not claim any notional profit or equivalent from JMSL.
5. I/We agree not to hold JMSL liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
6. I/We hereby confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
7. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
8. I/We am/are agreeable for & authorise JMSL to with hold funds pay-out towards all applicable margins and debits.
9. All fines/penalties and charges levied upon JMSL due to my acts/deeds or transactions may be recovered by JMSL from my account.
10. Any queries related to security delivered by JMSL, would be brought to the notice of JMSL within seven days of the receipt of such securities in my/our Demat Account or otherwise it can be presumed that I/We have checked all the security received by me/us and that they are good as per the prevailing norms.
11. Any queries related to my/our Contract cum Bill, shall be brought to the notice of the JMSL within 24 hours of the receipt of Contract cum Bill, however not after than 7 days from the execution of the trade.
12. JMSL is hereby advised to keep this instructions in force unless specifically informed by me/us in writing.
13. I/We will be extending all co-operation to JMSL in their endeavour towards Anti-Money Laundering. JMSL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
14. I/We understand that information about me/us and my/our transactions may be reported by JMSL to FIU/concerned authorities without any intimation to me/us and have no objection to the same.
15. I/We hereby reconfirm and accept all the terms & conditions mentioned hereinabove.

Thanking you,

Yours truly,

✓ _____
Signature of the Client

VOLUNTARY

TARIFF SHEET
BROKERAGE STRUCTURE

SEGMENT	DELIVERY (%)	MINIMUM (paisa)	SQUARE OFF (%)	MINIMUM (paisa)	RISK CATEGORY
NSE Cash					
NSE Equity Future					
NSE Equity Options					
BSE Cash					
BSE Equity Future					
BSE Equity Options					

(The above rates are exclusive STT, GST, Stamp Charges, Transaction Charges, Clearing Charges, SEBI Charges etc. if any, which will be charged extra at the rates prevailing from time to time.)

✓ _____
Signature of the Client

LETTER OF AUTHORISATION - AUTHORISED TRADING BY RELATIVE

Date : _____

To,
JAMNADAS MORARJEE SECURITIES LIMITED
203/204, 2nd Floor, Stock Exchange Tower,
Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

1. I, the undersigned write to notify you that I have appointed Mr./Ms. _____
having residential address _____
Phone No. _____ Mobile No. _____
Email address _____
(hereinafter called the 'Agent') who is my Father/ Mother/ Son / Daughter/ Spouse* to act on my behalf to give buy or sell instructions of every type and description including but not limited to futures, foreign exchanges, options and CFDs. ("score out the inapplicable and attach proof of relationship e.g. Ration Card / Marriage Certificate/Voter ID)
2. I ACKNOWLEDGE THAT PRIOR TO COMPLETING AND EXECUTING THIS LETTER, I HAVE READ AND UNDERSTOOD THE DISCLOSURE STATEMENT PRINTED BELOW.
3. I further declare and agree that:
 - (a) my agent shall have power as my agent to act as fully and effectually for the purpose(s) as I could do personally;
 - (b) all acts and matters previously done by my Agent in respect of my account(s) opened and maintained with you are hereby deemed ratified and confirmed; and
 - (c) notwithstanding the authorisation given to my Agent above, I may still communicate instructions to you personally. However, in the event of any inconsistency between instructions communicated by my Agent and instructions communicated by me personally, you shall have the absolute discretion (but shall not be obliged) to act upon the instructions communicated last in time and in your sole opinion considered capable of being acted upon, and in so acting you shall not be liable for any loss whatsoever and howsoever arising.
4. I further acknowledge that my appointment of my Agent is made by me of my own free will and as a result of my own judgment and deliberations. You shall accordingly be under no liability whatsoever in respect of any loss or damage which I may suffer or incur as a result of the acts or omissions of my Agent (including any acts involving dishonesty, criminal breach of trust, theft or other criminal offences). I further agree to be fully responsible for such acts or omissions of my Agent and shall indemnify and hold you harmless from any and all claims, liabilities, penalties, adverse consequences, losses, damages, costs or expenses (including legal fees on a full indemnity basis) which you may incur, be subjected to or suffer, arising out of, in relation to or in connection with, your relying on or acting in accordance with acts and /or omissions of my Agent within the scope of my Agent's ostensible authority. I also acknowledge that you are not obliged to ascertain or enquire into the terms and conditions on which my Agent was appointed, the context or circumstances in which any decision was taken by my Agent, the soundness of such decision or the purpose for which any of the decisions were taken.
5. The appointment of my Agent and authority conferred shall continue until written notice of revocation by me, is received by you. I undertake to ratify and confirm all acts and things done by my Agent on my behalf until your receipt of such notification.
6. I acknowledge that I have received a copy of the following Risk Disclosure and understand its contents. I am signing this letter of authorisation after having reviewed the risks pointed out to me and am willing to accept the same and I am signing this letter of authorisation voluntarily.

✓ _____
Signature of the Client

VOLUNTARY

DECLARATION FOR MOBILE NUMBER

Date : _____

To,
JAMNADAS MORARJEE SECURITIES LIMITED
203/204, 2nd Floor, Stock Exchange Tower,
Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

I, _____ do hereby declare that my
Mobile Number is _____. Further, I authorize JMSL that the same may be
used for giving me any information / alert / sms / call.

Or

We, _____ do hereby declare that Mr. _____
having mobile number _____ is authorized on our behalf to receive information /
alert / sms / call on our behalf.

I/We undertake to JMSL and confirm to use my/our own judgement in taking a call and execute trade
in the identified securities according to my/our financial strength/capabilities and shall not hold JMSL
responsible for any loss suffered by me/us on account of executing or omitting to execute any trades
in pursuance of the SMS alerts and/or investment advises sent by JMSL. I/We further declare that the
above mentioned statement is true and correct.

Thanking You,

Yours Truly,

✓ _____
Signature of the Client

ENROLMENT OF AADHAAR NO. WITH TRADING ACCOUNT

Date : _____

To,
JAMNADAS MORARJEE SECURITIES LIMITED
203/204, 2nd Floor, Stock Exchange Tower,
Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

I am enclosing a photo copy of Aadhaar Card (self-attested) to get it enrolled and seeded against my
Trading Account No. _____. I voluntarily give my consent to Jamnadas Morarjee
Securities Limited to use my Aadhaar details to authenticate from UIDAI and link the Aadhaar Number
to all my existing accounts with your Company.

Thanking You,

Yours Truly,

✓ _____
Signature of the Client

VOLUNTARY

Date : _____

To,
JAMNADAS MORARJEE SECURITIES LIMITED
 203/204, 2nd Floor, Stock Exchange Tower,
 Dalal Street, Fort, Mumbai - 400 001.

DECLARATION IN CASE OF SAME MOBILE NUMBER AND / OR E.MAIL ID FOR DIFFERENT CLIENTS
 [Please tick (✓) wherever applicable]

Client ID Date	
Name of account Holder	
☐ Mobile Number	
☐ Email ID	
I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My family (spouse, dependent children and dependent parents).	
Signature of account holder	✓
Name of account Holder	

Client ID Date	
Name of account Holder	
☐ Mobile Number	
☐ Email ID	
I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My family (spouse, dependent children and dependent parents).	
Signature of account holder	✓
Name of account Holder	

Client ID Date	
Name of account Holder	
☐ Mobile Number	
☐ Email ID	
I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My family (spouse, dependent children and dependent parents).	
Signature of account holder	✓
Name of account Holder	

VOLUNTARY

CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

Date : _____

To,
JAMNADAS MORARJEE SECURITIES LIMITED
203/204, 2nd Floor, Stock Exchange Tower,
Dalal Street, Fort, Mumbai - 400 001.

Dear Sir,

This is with reference to my/our trading account opened with you; I/we request you arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concern authorities from time to time.

Email Facility	Service Required - YES ☐ NO ☐
Email ID	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	✓
SMS Facility	Service Required - YES ☐ NO ☐
Mobile Number	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	✓

* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to **Jamnadas Morarjee Securities Limited**.

✓ _____
Signature of the Client

VOLUNTARY

Voluntary information provided by the client in relation to the Prevention of Money Laundering Act, 2002

Name of the Client : _____

If Business / Profession : Nature of Business : _____

Industry : _____

Details of my/our Relatives, having account with **Jamnadas Morarjee Securities Limited** :

Name	Relationship	UCC (Client Code)
1.		
2.		

Details of the Corporate / Partnership Firm / Trust etc. where I/We am/are affiliated

Name	Entity Type	Nature of Business	Relationship	UCC (Client Code)
1.				
2.				

I/We hereby submit and agree to submit every year any one of the following documents to **Jamnadas Morarjee Securities Ltd.**, before the due date as prescribed by **Jamnadas Morarjee Securities Ltd.** :

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self attested copy of Income Tax Return (If return not available, I/we will furnish Form 16)
4. Copy of Form 16 in case of Salary Income
5. Any other document providing financial details of the client

☐ I/We hereby declare that I/We do not fall under Clients of Special Category as defined in Prevention of Money Laundering Act 2002, **OR**

☐ I/We hereby declare that I/We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under)

☐ Non Resident Client, ☐ High Net-worth Clients, ☐ Trust, Charities, Non- Governmental Organisations (NGOs) and organizations receiving donations, ☐ Companies having close family shareholdings or beneficial ownership, ☐ Politically Exposed Persons, ☐ Companies Offering foreign exchange offerings, ☐ Clients in high risk countries where existence/ effectiveness of money laundering controls is suspect, ☐ Non face to face clients, ☐ Clients with dubious reputation as per public information available etc.

I/We confirm that I/We will immediately inform **Jamnadas Morarjee Securities Limited** in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We intend to invest in the stock market with : ☐ Own Funds ☐ Borrowed Funds

(If Borrowed Funds, then please specify below Sources of funds :)

Sources of Borrowed Funds (if any)	Amount (₹)

(Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account is to be attached, which I/We agree to attach herewith.)

I/We hereby declare that I/We am/are beneficial owner of the Trading / On-line account opened with **Jamnadas Morarjee Securities Limited**, and that I/We am/are investing my/our own funds with **Jamnadas Morarjee Securities Limited**.

✓ _____
Client Signature

Client's Name

FOR OFFICE USE ONLY

Risk categorisation of client as per PMLA, 2002 : ☐ High Risk ☐ Medium Risk ☐ Low Risk

VOLUNTARY

FATCA/CRS DECLARATION FORM - FOR INDIVIDUAL

Applicant Name _____

PART I - Please fill in the country for each of the following :

1. Country of :

a) Birth _____ b) Citizenship _____

c) Residence for Tax Purposes _____

2. US Person* : ☐ Yes ☐ No

PART II - Please note :

a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to **Part III** for signature.

b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent** as issued in the specific country in the table below :

i) TIN _____ Country of Issue _____

ii) TIN _____ Country of Issue _____

iii) TIN _____ Country of Issue _____

a. In case any of the parameters in Part I indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in Part IV.

b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

Please also fill **Part IV** Self-Certification.

PART III - Customer Declaration (Applicable for all customers)

(i) Under penalty of perjury, I/we certify that :

1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

(ii) I/We understand that **Jamnadas Morarjee Securities Limited** is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. **Jamnadas Morarjee Securities Limited** is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities **Jamnadas Morarjee Securities Limited** may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature : ✓ _____

Name : _____ Date (DD/MM/YYYY) : _____

PART IV - Self-Certification :

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

✓ _____

Signature

Document Proof submitted (Please tick document being submitted)

☐ Passport ☐ Election Id Card ☐ PAN Card ☐ Driving License ☐ UIDAI Letter ☐ NREGA Job Card ☐ Govt. Issued ID Card

*** U.S. Person** means,

- (a) an individual, being a citizen or resident of the United States of America;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
 - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

**** Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number

Date : _____

From :

To,
JAMNADAS MORARJEE SECURITIES LIMITED
203/204, 2nd Floor, Stock Exchange Tower,
Dalal Street, Fort, Mumbai - 400 001.

Ref. : Acknowledgement for the receipt of documents

Dear Sir,

This is to acknowledge and declare that

- ☐ I/We have received a photocopy of the KYC (Voluntary and Mandatory portion), duly executed with you, to my/our satisfaction including my / our Unique Client Code (Trading Code).
- ☐ I/We have (☐ Physically ☐ Electronically) received, read and understood the Rights & Obligations, Risk Disclosure Documents, Guidance Note, "Rights and Obligations of Beneficial Owner and Depository Participant" as prescribed by SEBI and Depositories and also AML Literature.
- ☐ I/We have received, read and understood the Policies and Procedures.
- ☐ I/We have received a copy of Voluntary freezing/Blocking of Trading Accounts
- ☐ I/We have received a copy of Most Important Terms and Conditions (MITC)
- ☐ The email id noted with you (for ECN and other purposes) is correct.

I/we hereby declare that I/we have the full intimation of the Client ID allotted to me/us.

Thanking you,

Yours truly,

✓ _____
Signature of the Client

Client Code _____

Declaration Form of Ultimate Beneficial Ownership [UBO]/Controlling Persons

I: Investor details:

Investor Name										
PAN (Mandatory)										

II: Category

☐ Our Company is a Listed Company on a recognized stock exchange in India/ subsidiary of a or Controlled by a Listed Company [If this category is selected, no need to provide UBO details].

Name of the Stock Exchange Where it is listed.

Others

Security ISIN

Name of the Listed Company (applicable if the investor is subsidiary/associate):

☐ Unlisted Company

☐ Partnership Firm / LLP

☐ Unincorporated association / body of individuals

☐ Public Charitable Trust

☐ Private Trust

☐ Religious Trust

☐ Trusted created by a Will.

☐ Others [Please Specify]

Ultimate Beneficiary Owner (UBO) / Controlling Person(s) / Senior Managing Official details.

Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit? # Yes No

If 'YES' - we hereby declare that the following individual holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.

If 'NO' - Declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior managing Official (SMO) are provided below.

	UBO-1 / Senior Managing Official (SMO)	UBO-2	UBO-3
Name of the UBO / SMO#.			
UBO / SMO PAN#. For Foreign National, TIN to be provided]			
UBO / SMO Country of Tax Residency#.			

UBO / SMO Taxpayer Identification Number / Equivalent ID Number#.			
UBO / SMO Identity Type			
UBO / SMO Place & Country of Birth#	Place of Birth _____ Country of Birth _____	Place of Birth _____ Country of Birth _____	Place of Birth _____ Country of Birth _____
UBO / SMO Nationality			
UBO / SMO Date of Birth [dd- mmmyyyy]#			
UBO / SMO PEP#	PEP. ☐ Related to PEP. ☐ Not a PEP. ☐	PEP. ☐ Related to PEP. ☐ Not a PEP. ☐	PEP. ☐ Related to PEP. ☐ Not a PEP. ☐
UBO / SMO Address Type	Residence ☐ Business ☐ Registered Office. ☐	Residence ☐ Business ☐ Registered Office. ☐	Residence ☐ Business ☐ Registered Office. ☐
UBO / SMO Occupation	Public Service ☐ Private Service ☐ Business ☐ Others ☐	Public Service ☐ Private Service ☐ Business ☐ Others ☐	Public Service ☐ Private Service ☐ Business ☐ Others ☐
SMO Designation#			
UBO / SMO KYC Complied**. If not complied, please complete KYC process independently and then submit the proof.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.

Mandatory column.

**In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s)duly signed by Authorized Signatory.

Participating Mutual Fund(s) / RTA may call for additional information/documentation whenever required or if a given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information.

	UBO-4	UBO-5	UBO-6
Name of the UBO / SMO#.			
UBO / SMO PAN#. For Foreign National, TIN to be provided]			
UBO / SMO Country of Tax Residency#.			
UBO / SMO Taxpayer Identification Number / Equivalent ID Number#.			
UBO / SMO Identity Type			
UBO / SMO Place & Country of Birth#	Place of Birth _____ Country of Birth _____	Place of Birth _____ Country of Birth _____	Place of Birth _____ Country of Birth _____
UBO / SMO Nationality			
UBO / SMO Date of Birth [dd-mmmyyyy]#			
UBO / SMO PEP#	PEP. ☐ Related to PEP. ☐ Not a PEP. ☐	PEP. ☐ Related to PEP. ☐ Not a PEP. ☐	PEP. ☐ Related to PEP. ☐ Not a PEP. ☐
UBO / SMO Address Type	Residence ☐ Business ☐ Registered Office. ☐	Residence ☐ Business ☐ Registered Office. ☐	Residence ☐ Business ☐ Registered Office. ☐
UBO / SMO Occupation	Public Service ☐ Private Service ☐ Business ☐ Others ☐	Public Service ☐ Private Service ☐ Business ☐ Others ☐	Public Service ☐ Private Service ☐ Business ☐ Others ☐
SMO Designation#			
UBO / SMO KYC Complied**. If not complied, please complete KYC process independently and then submit the proof.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.
# Mandatory column. **In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country. Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s)duly signed by Authorized Signatory. Participating Mutual Fund(s) / RTA may call for additional information/documentation whenever required or if a given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information.			

Declaration

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employee / RTAs ('the Authorized parties') or any Indian or Foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India(FIU-IND), the tax / revenue authorities in India or outside India whenever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries / or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:

Name: Designation:	Name: Designation:	Name: Designation:
Name: Designation:	Name: Designation:	Name: Designation:

Place: _____

Date: _ / _ / _

DECLARATION REGARDING ASSOCIATION / NON-ASSOCIATION WITH POLITICALLY EXPOSED PERSONS

(On the letter head of the member)

We, M/s (Name of member), hereby declare that none of our Partners / Associates² are 'Politically Exposed Persons'¹ (PEP).

OR

We, M/s (Name of member), hereby declare that our Partners / Associates² are 'Politically Exposed Persons'¹ (PEP) as per the details given below -

Sr. No	Full Name of the PEP	PAN of PEP	Address of the PEP	Details of Function /position held by PEP	Date since when position held as PEP	Relationship of PEP with the Member

For M/s. *(name of company)*

For M/s. *(name of company)*

Stamp and Signature of
Authorised Signatory³

□

□□□□□ □

□ □ □

Stamp and Signature of
Authorised Signatory³

Note:

1. As per SEBI master circular ISD/AML/CIR-1/2010 dated February 12, 2010, 'Politically Exposed Persons' (PEP) are individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc.
2. 'Associate' has the same definition as given under Section 2(1)(b) of the SEBI (Intermediaries) Regulations, 2008.
3. The current undertaking has to be stamped & signed by two designated directors or authorised signatory(ies) as per Board Resolution mentioning names and designations.
4. A revised undertaking stamped & signed by two designated directors or authorised signatory(ies) as per Board Resolution mentioning names and designations need to be submitted as and when there is change in any of the details submitted vide current undertaking.

DECLARATION REGARDING ASSOCIATION / NON-ASSOCIATION WITH POLITICALLY EXPOSED PERSONS

(On the letter head of the member)

We, M/s (Name of member), hereby declare that none of our Proprietor / Relatives / Associates² are 'Politically Exposed Persons'¹ (PEP).

OR

We, M/s (Name of member), hereby declare that our Proprietor / Relatives / Associates² are 'Politically Exposed Persons'¹ (PEP) as per the details given below -

Sr. No	Full Name of the PEP	PAN of PEP	Address of the PEP	Details of Function /position held by PEP	Date since when position held as PEP	Relationship of PEP with the Member

For M/s. *(name of company)*

For M/s. *(name of company)*

Stamp and Signature of
Authorised Signatory³

□

□□□□□ □

□ □ □

Stamp and Signature of
Authorised Signatory³

Note:

1. As per SEBI master circular ISD/AML/CIR-1/2010 dated February 12, 2010, 'Politically Exposed Persons' (PEP) are individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc.
2. 'Associate' has the same definition as given under Section 2(1)(b) of the SEBI (Intermediaries) Regulations, 2008.
3. The current undertaking has to be stamped & signed by two designated directors or authorised signatory(ies) as per Board Resolution mentioning names and designations.
4. A revised undertaking stamped & signed by two designated directors or authorised signatory(ies) as per Board Resolution mentioning names and designations need to be submitted as and when there is change in any of the details submitted vide current undertaking.

Annexure I

DECLARATION REGARDING ASSOCIATION / NON-ASSOCIATION WITH POLITICALLY EXPOSED PERSONS

(Name of member)

OR

(Name of member)

Sr. No	Full Name of the PEP	PAN of PEP	Address of the PEP	Details of Function /position held by PEP	Date since when position held as PEP	Relationship of PEP with the Member

name of company)

name of company)

□

□□□□□ □

□ □ □

Note:

1. As per SEBI master circular ISD/AML/CIR-1/2010 dated February 12, 2010, 'Politically Exposed Persons' (PEP) are individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc.
2. 'Associate' has the same definition as given under Section 2(1)(b) of the SEBI (Intermediaries) Regulations, 2008.
3. The current undertaking has to be stamped & signed by two designated directors or authorised signatory(ies) as per Board Resolution mentioning names and designations.
4. A revised undertaking stamped & signed by two designated directors or authorised signatory(ies) as per Board Resolution mentioning names and designations need to be submitted as and when there is change in any of the details submitted vide current undertaking.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts

expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Hence trading through wireless technology / smart order routing or any other technology is subject to a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

DO'S AND DON'TS FOR INVESTORS

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NSE Investor Service Cell Tel No. :022-26598191

Given below are some general Do's and Don'ts for investors:

Do's :

- Always deal with the market intermediaries registered with SEBI / stock exchanges.
- Collect photocopies of all documents executed for registration as a client, immediately on its execution. Ensure that the documents or forms for registration as Client, are fully filled in.
- Give clear and unambiguous instructions to your broker / agent / depository participant.
- Always insist on contract notes from your broker. In case of doubt in respect of the transactions, verify the genuineness of the same on the BSE website.
- Always settle the dues through the normal banking channels with the market intermediaries.
- Before placing an order with the market intermediaries, please check about the credentials of the companies, its management, fundamentals and recent announcements made by them and various other disclosures made under various regulations. The sources of information are the websites of Exchanges and companies, databases of data vendor, business magazines etc.
- Adopt trading / investment strategies commensurate with your risk-bearing capacity as all investments carry some risk, the degree of which varies according to the investment strategy adopted.
- Carry out due diligence before registering as client with any intermediary. Carefully read and understand the contents stated in the Risk Disclosure Document, which forms part of the investor registration requirement for dealing through brokers.
- Be cautious about stocks which show a sudden spurt in price or trading activity, especially low price stocks.
- There are no guaranteed returns on investment in the stock market .
- Always keep copies of all investment documentation (e.g. application forms, acknowledgements slips, contract notes).
- Always keep copies of documents you are sending to companies, Trading Member, Registrar and Transfer Agent, etc.
- Send important documents by a reliable mode (preferably through registered post) to ensure delivery.

- Ensure that you have money before you buy.
- Ensure that you are holding securities before you sell.
- Follow up diligently and promptly e.g. If you do not receive the required documentation within a reasonable time, contact the concerned person; i.e. the Trading Member, company etc., immediately.
- Mention clearly whether you want to transact in physical mode or in demat mode.
- Lodge your Arbitration Application against the Trading Member, at the concerned Regional Investor Service Centre, by confirming geographical jurisdiction. Please use for the purpose, your address as intimated to your Trading Member by following due process of law. The details of geographical jurisdiction of each Regional Investor Service Centre are also available on the Contract Note. The period consumed in redressal of complaint thru IGRC services will not be considered while measuring period of 'limitation' in filing arbitration application provided the complaint and / or arbitration application is / are filed at the concerned Regional Investor Service Centre.
- Lodge your complaint against a company listed on BSE, at the concerned Regional Investor Service Centre, by confirming geographical jurisdiction. Please use your address for deciding the geographical jurisdiction. This will enable to process the complaint expeditiously.

Don'ts :

- Don't deal with unregistered brokers / sub - brokers, or other unregistered intermediaries.
- Don't execute any documents with any intermediary without fully understanding its terms and conditions.
- Don't file your arbitration application against trading member, in the Regional Investor Service Centre having no geographical jurisdiction Over the matter. Please use for the purpose, your address as intimated to your Trading Member by following due process of law .The Exchange redresses investors' complaints thru arbitration and IGRC mechanism, which are quasi-judicial in nature. The period consumed in redressal of complaint thru IGRC will not be considered while measuring period of 'limitation' in filing arbitration application provided the complaint is filed at the concerned Regional Investor Service Centre.
- Don't file your grievance /s against companies listed on BSE, in the Regional Investor Service Centre having no geographical jurisdiction over the matter, for its expeditious redressal Please use your address for deciding the geographical jurisdiction.
- Don't deal based on rumours or 'tips'.
- Don't fall prey to promises of guaranteed returns.
- Don't get misled by companies showing approvals / registrations from Government agencies as the approvals could be for certain other purposes and not for the securities you are buying.
- Don't leave the custody of your Demat Transaction slip book in the hands of any intermediary.
- Don't get carried away with advertisements about the financial performance of companies in print and electronic media.
- Don't blindly follow media reports on corporate developments, as some of these could be misleading.
- Don't blindly imitate investment decisions of others who may have profited from their investment decisions.
- Don't forgo obtaining all documents of transactions, in good faith even from people whom you know.
- Don't forget to take note of the risks involved in an investment.
- Don't get misled by guarantees of repayment of your investments through post-dated cheques.
- Don't hesitate to approach concerned persons and then the appropriate authorities.
- Don't get swayed by promises of high returns.