



JYOTI BROKING PVT. LTD.


Member : NSE (CM, F&O, Currency), BSE (CM, F&O) • DP : NSDL & CDSL

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Branch Name	<input type="text"/>								
Client Name	<input type="text"/>								
Trading Code	<input type="text"/>								
Client ID	<input type="text"/>								
NSDL	<table border="1"><tr><td>1</td><td>N</td><td>3</td><td>0</td><td>2</td><td>0</td><td>5</td><td>0</td></tr></table>	1	N	3	0	2	0	5	0
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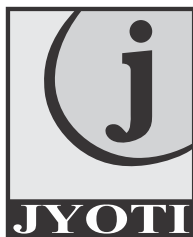


Client Registration Form

INSTRUCTIONS FOR FILLING UP THE ACCOUNT OPENING FORMS

1. Please provide all the information asked for in the form and attach self attested copies of the documents required along with the form.
2. Please provide clear, legible copies of the documents.
3. Please bring original documents for verification at the time of KYC Form submission to member.
4. Please note that any proof other than mentioned herein would not be accepted.
5. All proofs, photographs and signatures on the form should be clearly visible and legible.
6. All documentary proofs should be verified with originals and signed and stamped with "Verified with original" rubber stamp.
7. The account opening form, should be filled properly and completely and signed on all pages wherever required/ instructed.
8. If the client's occupation is 'student', then please provide an attested copy of 'Photo Identity Card' issued by college/ educational Institution.
9. You are advised to read and understand each and every document before signing it. It is compulsory to sign the applicable mandatory document. For the voluntary documents, please sign all and / or the relevant document in accordance with the services required by you from the Member.
10. Please note that Pin code, Telephone/ Mobile No., Email Address must be provided in the address details by you.
11. Please ensure that your name and signature, among other information, are the same at all places as appearing on your PAN Card and address proof, and in case of any difference of name appearing on PAN Card, then Additional ID Proof with same name shall be provided.
12. Permanent & Correspondence address given in the form should be same as it appears on the address proof. In case permanent and correspondence addresses are different make sure to provide address proof for both of them.
13. Witness name, address must be provided wherever required.
14. All fields are to be filled / answered. Not applicable (N.A.) to be mentioned in the columns not applicable to the clients. Wherever applicable, relevant columns should be tick marked and strike off the portion of KYC forms which is not applicable.
15. Please avoid overwriting, corrections, if any, in the documents should be countersigned with full signature. Note White (correction) ink is not allowed either on the form or on the agreement or on Contract.
16. In case the investor is a spouse where proof of address is in the name of spouse then the documents such as ration card, school certificate etc., evidencing their relationship should be submitted or as advised by the Member.
17. The information given here would be kept confidential. However if the information is required by SEBI, by any stock exchange or by any government agency it may be given to them.
18. Sign on all places marked as 

Exclusive E-mail Id for Redressal of Investor grievance : jyotiinvestorgrievance@rediffmail.com



Website: www.jyotinettrading.com



MANDATORY DOCUMENTS



MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Index of Information		1-2
2.	Instructions/Check List for Filling KYC Form		3-4
3.	Contacts Details of Stocks Broker & Regulators		5
4.	Account Opening Form	A. KYC form – Document captures the basic information about the constituent and instruction/check list. B. Document captures the basic information about the constituent relevant to trading account and an instruction/ check list.	6-21
5.	Rights and Obligations	Document stating the Rights & Obligation of stock broker/ trading member, Authorised Person and client for the trading on exchanges (including additional Rights & Obligation in case of internet/wireless technology based trading)	22-26
6.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	27-29
7.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	30
8.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	31-34
9.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	35
10.	MITC	Most Important Terms and Conditions (MITC)	36

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

11.	Notice on important issues	Specific Advice on Certain Important Matters.	38
12.	Declaration	Client declaration of his knowledge of various matters	39-40
13.	Authorization for Information/Contract Note via E-mail	Authorization to issue digitally signed electronic contract notes in lieu of physical contract notes & other information	40
14.	Running Account Authorization	Authorization to maintain your account on a Running Basis	41
15.	Authorisation for Debiting demat Account Operating Charges	Authorisation for Debiting demat Account Operating Charges	42
16.	Authorisation for Instruction by Third Person	Client Authorisation for Instruction by Third Person	43
	Consent for Aadhaar Authentication	Client Aadhaar Authentication	
17.	Declaration for Delivering Trade / Balance Confirmation via sms	Declaration for receiving trade/balance confirmation, ownership of Mobile Number & Confirmation that voice call or SMS shall not be considered Violation of your rights.	44
	Request for Trade Alerts through SMS and/or E-mail	Consent to receive the Trade Alerts through SMS and /or E-mail	
18.	Declaration of Joint Family by HUF	Authorization by Co-parceners in favour of Karta to deal on their behalf.	45-46
19.	Mutual Fund Facility	Client for using MFSS facility by BSE MF & other MF platform	47
20.	Acknowledgment	Acknowledgment given by Client	48
21.	Declaration for Name Mismatch	Declaration for Name Mismatch by the client	48
22.	Facility for availing Electronic Payment Gateway for Net Banking	Client authorization for availing facility of Electronic Payment Gateway for net banking	49-50
	Verbal Order Acceptance Authorization	Client authorization for placing order verbally	

23.	Family Declaration for Mobile and E-mail	Client Declaration for same Mobile and E-mail in family accounts	51
24.	FATCA & CRS Declaration-Individual	FATCA & CRS Declaration-Individual	52
25.	FATCA & CRS Declaration-Non-Individual.	FATCA & CRS Declaration-Non-Individual	53-54
26.	Addendum to the Client Registration form / Key Information	Provision of Prevention of Money Laundering Act, 2002	55
27.	DDPI	DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)	56
28.	Acknowledgement	Acknowledgement for the client	57

ACKNOWLEDGEMENT

I/We acknowledge receipt of the documents at serial no. 5, 6, 7, 8 & 9, I/We have read the contents of these and agree to abide by them. I/We further understand that the copies of rest of the document mentioned in above index shall be provided to me/us after Verification / Acceptance / Execution by the broker.

Signature of the Applicant



INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters / Partners / Karta / Trustees and whole time directors and persons authorised to deal in securities on behalf of company / firm / others.
2. Copies of all the documents submitted by the applicant should be self-attested 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 authorised for attesting the documents, as per the below 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 address 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 / PIO Card / OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the 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., Heads of States or of Governments, senior politicians, senior Government / judicial / military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its 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): - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Unique Identification Number (UID) (Aadhaar) / Passport / Voters Identity Card / Ration Card / Registered Lease or

Sale Agreement of Residence/ Driving License / Flat Maintenance bill / Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 2 months old.
3. Bank Account Statement / Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card / document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

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

1. In case of transactions undertaken on behalf of Central Government and / or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities / multilateral agencies exempt from paying taxes / filing tax returns in India.
4. SIP of Mutual Funds upto Rs. 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorised to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial / Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorised 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. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including 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 submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors / two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Photograph, POI, POA, PAN of Partners. • Authorised signatories list with specimen signatures.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • Photograph, POI, POA, PAN of Trustees. • List of trustees certified by managing trustees / CA.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Bank pass-book / bank statement in the name of HUF. • Deed of declaration of HUF / List of coparceners. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence / Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • authorised signatories list with specimen signatures.
Banks/ Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution / registration or annual report / balance sheet for the last 2 financial years. • Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorised signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorised signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS/ CHECK LIST (for filling additional information related to trading account)

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 documents.

*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.

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For Individuals:
 - 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.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' 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.
- For non-individuals:
 - Form need to be initialized by all the authorised signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorised to deal in securities on behalf of company / firm / others and their specimen signatures.



Jyoti Broking Pvt. Ltd.

CIN NO.: U74899HR1980PTC036599

Name of Stock Exchange and Depository	SEBI Registration Number and Date	
National Stock Exchange of India Limited	Cash Derivative Segment Currency Derivatives	INZ000017939 (14-09-1995) INZ000017939 (26-03-2002) INZ000017939 (3-11-2008)
Bombay Stock Exchange of India Limited	Cash Derivative Segment	INZ000017939 (31-03-2005) INZ000017939 (11-06-2007)
National Securities Depository Limited	DP ID: IN302050	SEBI REGN. NO.: IN-DP-443-2019
Central Depository Services (India) Limited	DP ID: 12030100	

Registered Office Address

Unit No. 1002, 10th Floor, DLF City Court, M.G. Road, Gurugram 122002 (Haryana)

Correspondence Office Address

B-78, 3rd Floor, Defence Colony, New Delhi-110024

Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

www.jyotinettrading.com

Compliance Officer Details

Name : Mrs. Garima Agarwala
Phone No. : 011-46059400/412
Email Id : garima@jyotiportfolio.com

Director Details

Name : Mr. Deepak Agarwala
Phone No. : 011-46059400/446
Email Id : deepak@jyotiportfolio.com

Clearing Member Details for Currency Segment

Name : Globe Capital Market Ltd.
SEBI Regn. No. : INZ000177137
Regd. Office : 609, 6th Floor, Ansal Bhawan, 16, K.G. Marg, New Delhi-110001
Phone No. : 011-30412345,
Fax : 011-23720883
E-mail Id : mail@globecapital.com

For any grievance/dispute please contact Jyoti Broking Pvt. Ltd. at the above address or Email ID: jyotiinvestorgrievance@rediffmail.com and Phone No. 011-46059446

In case not satisfied with the response, please contact the concerned Exchange(s) at

Exchange / SEBI	Email Id	Phone No.
Securities & Exchange Board of India	sebi@sebi.gov.in	022-264499500/40459950
National Stock Exchange	ignse@nse.co.in	022-26598190
Bombay Stock Exchange	iscdelhi@bseindia.com	022-22728097

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 Letter
 Z — Others (Any document notified by Central Government)
 Identification Number

3. Contact Details (in CAPITAL)

Email ID*
 E-MAIL ID given by me belong to Me Spouse Dependent Children Dependent Parent
 E-MAIL ID is registered in name of Who's PAN No. is
 Mobile No.*
 MOBILE (Primary) given by me belong to Me Spouse Dependent Children Dependent Parent
 MOBILE is registered in name of Who's PAN No. is
 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 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
 Emp. Code
 Emp. Designation

- Self certified document copies received (OVD)
 True Copies of documents received (Attested)
 AMC / Intermediary Name:

Jyoti Broking Pvt. Ltd.

Employee Signature and Stamp

Institution Name & Stamp

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) _____

4. Contact Details (in CAPITAL)

Email ID*

E-MAIL ID given by me belong to Me Spouse Dependent Children Dependent Parent

E-MAIL ID is registered in name of Who's PAN No. is

Mobile No.*

MOBILE (Primary) given by me belong to Me Spouse Dependent Children Dependent Parent

MOBILE is registered in name of Who's PAN No. is

Tel (OFF) Tel (Resi)

5. Annexures Submitted

Number of Related Persons -

6. Remarks / Additional Information

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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 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.

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

DATE: (DD-MM-YYYY)

PLACE:

Applicant Digital Sign. (DSC)	Applicant Wet Signature
	

8. For Office Use Only

KYC Carried Out by*	Intermediary Details*
KYC Date	<input type="checkbox"/> Self certified document copies received (Originals Verified)
Emp. Name	<input type="checkbox"/> True Copies of documents received (Attested)
Emp. Code	AMC / Intermediary Name OR Code:
Emp. Designation	<input type="text" value="Jyoti Broking Pvt. Ltd."/>
Employee Signature and Stamp	Institution Name & Stamp

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 Letter
 Z — Others (Any document notified by Central Government)
 Identification Number

3. Contact Details (in CAPITAL)

Email ID*
 E-MAIL ID given by me belong to Me Spouse Dependent Children Dependent Parent
 E-MAIL ID is registered in name of Who's PAN No. is
 Mobile No.*
 MOBILE (Primary) given by me belong to Me Spouse Dependent Children Dependent Parent
 MOBILE is registered in name of Who's PAN No. is
 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 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.

I/We hereby consent to receiving information from 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

 Self certified document copies received (OVD)

Emp. Name

 True Copies of documents received (Attested)

Emp. Code

Emp. Designation

Jyoti Broking Pvt. Ltd.

Employee Signature and Stamp

Institution Name & Stamp

DETAILS OF AUTHORISED SIGNATORY(IES) / PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

Name of Applicant										
PAN of the Applicant										

1. Name											PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	Relationship with Applicant (i.e. promoters, whole time directors etc.)										
	PAN					DIN / Aadhaar No.*					
	Residential/Registered Address										
	City / Town / Village					PIN					
	State					Country					
Contact Details	Phone No.					Mobile No.					SIGNATURE
	Email ID										
Whether Politically Exposed <input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO											

2. Name											PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	Relationship with Applicant (i.e. promoters, whole time directors etc.)										
	PAN					DIN / Aadhaar No.*					
	Residential/Registered Address										
	City / Town / Village					PIN					
	State					Country					
Contact Details	Phone No.					Mobile No.					SIGNATURE
	Email ID										
Whether Politically Exposed <input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO											

3. Name											PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	Relationship with Applicant (i.e. promoters, whole time directors etc.)										
	PAN					DIN / Aadhaar No.*					
	Residential/Registered Address										
	City / Town / Village					PIN					
	State					Country					
Contact Details	Phone No.					Mobile No.					SIGNATURE
	Email ID										
Whether Politically Exposed <input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO											

***DIN for Directors / Aadhaar No. for others**



Name & Signature of the Authorised Signatory(ies)

Date

D	D	M	M	Y	Y	Y	Y
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In person Verification (IPV) Details:

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of Authorised Person _____

Name of the Organization: **Jyoti Broking Pvt. Ltd.**

Date of IPV:

D	D	/	M	M	/	Y	Y	Y	Y
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Signature of the person who has done the IPV



DETAILS OF AUTHORISED SIGNATORY(IES) / PROMOTERS / PARTNERS/ KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS


Name of Applicant										
PAN of the Applicant										

4. Name											PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	Relationship with Applicant (i.e. promoters, whole time directors etc.)										
	PAN					DIN / Aadhaar No.*					
	Residential/Registered Address										
	City / Town / Village					PIN					
	State					Country					
Contact Details	Phone No.					Mobile No.					SIGNATURE
	Email ID										
Whether Politically Exposed <input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO											

5. Name											PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	Relationship with Applicant (i.e. promoters, whole time directors etc.)										
	PAN					DIN / Aadhaar No.*					
	Residential/Registered Address										
	City / Town / Village					PIN					
	State					Country					
Contact Details	Phone No.					Mobile No.					SIGNATURE
	Email ID										
Whether Politically Exposed <input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO											

6. Name											PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	Relationship with Applicant (i.e. promoters, whole time directors etc.)										
	PAN					DIN / Aadhaar No.*					
	Residential/Registered Address										
	City / Town / Village					PIN					
	State					Country					
Contact Details	Phone No.					Mobile No.					SIGNATURE
	Email ID										
Whether Politically Exposed <input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO											

*DIN for Directors / Aadhaar No. for others

								
Name & Signature of the Authorised Signatory(ies)								
Date <table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y	

In person Verification (IPV) Details:										
Name of the person who has done the IPV: _____										
Designation: _____ Employee ID: _____										
Name of Authorised Person _____										
Name of the Organization: Jyoti Broking Pvt. Ltd.										
Date of IPV: <table border="1"> <tr> <td>D</td><td>D</td><td>/</td><td>M</td><td>M</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	/	M	M	/	Y	Y	Y	Y
D	D	/	M	M	/	Y	Y	Y	Y	
Signature of the person who has done the IPV										

D. TRADING PREFERENCES					CODE:
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.					
Exchanges	NSE & BSE				MCX, NCDEX
All Segments	Cash/Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
					N/A
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____					

E. 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 / Authorised Persons in charge of dealing in securities during the last 3 years, give details (attach annexure if required)

F. DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS
If client is dealing through the Authorised Person, provide the following details:
Sub-broking's Name _____
SEBI Registration Number _____
Registered Office _____
Address _____
City / Town / Village _____ PIN Code _____
State _____ Country _____
Phone _____ Fax _____
Website _____
Whether dealing with any other stock broker / Authorised Person (if case dealing with multiple stock brokers / Authorised Persons, provide details of all) _____
Name of stock broker _____
Name of Authorised Person (if any) _____
Client Code _____ Exchange _____
Details of disputes / dues pending from / to such stock broker / Authorised Person: _____

G ADDITIONAL DETAILS	
Whether you wish to receive Physical Contract Note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Specify your Email Id, if applicable _____	
Whether you wish to avail of the facility of internet trading / wireless technology (please specify):	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Browser Based <input type="checkbox"/> EXE Based <input type="checkbox"/> Wireless Trading
In case of non-individual, Name, Designation, PAN, UID, Signature, Residential Address and Photograph of persons authorised to deal in securities on behalf of company / firm / others (attach annexure if required) : _____ _____	
Any other information _____	
Mode of receiving Standard Account Opening Documents Sr. No. 5, 6, 7, 8 and 9 under INDEX: <input type="checkbox"/> Electronic Mode <input type="checkbox"/> Physical Mode	
Number of years of Investment/Trading Experience <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> Years of Experience	
I / We would like to instruct the DP to accept all the pledge instructions/enable with flag "Standing Instruction for Auto Pledge Confirmation" in my /our account without any other further instruction from my/our end. I / We have read and understood the Securities and Exchange Board of India's guidelines on Pledging of shares in dematerialised form as regulated by SEBI (Depositories and Participants) Regulations, 1996 and Depositories Act, 1996. (If not marked, the default option would be 'No') <input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I / We would like to share the email ID with the RTA <input type="checkbox"/> Yes <input type="checkbox"/> No	
Account to be operated through Power of Attorney (PoA) <input type="checkbox"/> Yes <input type="checkbox"/> No	
Account to be operated through Demat Debit and Pledge Instruction (DDPI) if Yes, client is required to Sign & Execute DDPI Form <input type="checkbox"/> Yes <input type="checkbox"/> No	
For Joint Accounts communications to be sent to (See Note 8) <input type="checkbox"/> First Holder <input type="checkbox"/> All Joint Account Holders	

H CLEARING MEMBER DETAILS (to be filled up by Clearing Members only)	
1. Name of Stock Exchange	_____
2. Name of Clearing Corporation/Clearing House	_____
3. Clearing Member ID	_____
4. SEBI Registration Number	_____
5. Trade Name	_____
6. CM-BP-ID (to be filled up by Participant)	_____
7. Trading Member ID	_____

I INTRODUCER DETAILS (Optional)	
Name of the Introducer	<input type="text"/>
Status of the Introducer	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (please specify) <input type="text"/>
Address of the Introducer	<input type="text"/>
City / Town / Village	<input type="text"/> PIN Code <input type="text"/>
State	<input type="text"/> Country <input type="text"/>
Phone No. of Introducer	<input type="text"/> Signature of the Introducer <input type="text"/>

J. NOMINATION FORM FOR TRADING AND DEMAT ACCOUNTS (To be filled in by individual applying singly or jointly)				
Date : <input type="text"/>				
UCC <input type="text"/>	DP ID <input type="text"/> Client ID <input type="text"/>			
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. / Mrs.)			
2	Share of each Nominee Equally <input type="checkbox"/> [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)			
4	Address of Nominee(s)			
	City/Place			
	State			
	Pin Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Country	<input type="text"/>	<input type="text"/>	<input type="text"/>
5	Mobile/Telephone No. of Nominee(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
6	Email ID of Nominee(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>

7	Nominee Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature	Photograph of 1st nominee <i>Signature of Nominee across photograph</i>	Photograph of 2nd nominee <i>Signature of Nominee across photograph</i>	Photograph of 3rd nominee <i>Signature of Nominee across photograph</i>
	Signature			
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar	x x x x x x x x	x x x x x x x x	x x x x x x x x
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			
<input type="checkbox"/> Saving Bank Account No.				
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:				
8	Date of Birth {in case of minor nominee(s)}	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
9	Name of Guardian (Mr. / Mrs.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			
		City/Place		
		State		
		Pin Code		
		Country		
11	Mobile/Telephone No. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with Nominee			

14 Guardian Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <div style="border: 1px solid black; padding: 2px; display: inline-block;">Signature</div>	Photograph of Guardian 	Photograph of Guardian 	Photograph of Guardian 	
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar	x x x x x x x x	x x x x x x x x	x x x x x x x x
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			
	<input type="checkbox"/> Saving Bank Account No.			
	Name(s) of holder(s)	Signature(s) of holder*		
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature
 # Optional Fields (information required at Serial nos. 5,6,7,11,12 & 14 is not mandatory)

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.
 The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Name and Signature of Holder(s)*		
1. _____	2. _____	3. _____

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

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSONS AND CLIENTS

1. The client shall invest/trade in those securities/ contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, Authorised Person and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The Authorised Person shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on

a periodic basis.

10. The stock broker and Authorised Person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes

mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, Authorised Person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on

the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the Authorised Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorised Person by the stock exchange and/or termination of the agreement with the Authorised Person by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, Authorised Person and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is

executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
37. "The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI."
- Accordingly, SEBI circular no. CIR/MIRSD/16/2011 dated August 22, 2011 stands amended to this extent.

ELECTRONIC CONTRACT NOTES (ECN)

38. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
39. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

40. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
41. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
42. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
43. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

44. In addition to the specific rights set out in this document, the stock broker, Authorised Person and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
45. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
46. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
47. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
48. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
49. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/ account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/ Exchanges.

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:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

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.

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com, www.bseindia.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute POA/DDPI in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of Authorised Person. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the

- retention of funds and securities and the details of the pledged shares, if any.
- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/Authorised Person then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/Authorised Persons have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

1. Refusal of orders for penny / illiquid stock

The stock broker may from time to time limit (quantity/ value) refuse orders in one or more securities 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 stock broker / exchange(s) / SEBI. Provided further that stock broker 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 stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market level limits in security specific / volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

Ordinarily, the client is not entitled to trade without adequate margin /security and that it shall be his / her/ its responsibility to ascertain beforehand the margin / security requirements for his/ her /its orders / trades / deals and to ensure that the required margin / security is made available to the stock broker in such form and manner as may be required by the stock broker. If the

client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she / it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim /loss/ damage arising out of the non availability /shortage of margin /security required by the stock broker & / or exchange & / or SEBI.

The stock broker is entitled to vary the form (i.e., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage of the margin & / or security required to be deposited / made available, from time to time. The margin / security deposited by the client with the stock broker are not eligible for any interest. The stock broker is entitled to include / appropriate any / all payout of funds & / or securities towards margin / security without requiring specific authorizations for each payout. The stock broker is entitled to transfer funds W or securities from client's account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the stock broker. The client also agrees and authorises the stock broker to treat / adjust his/her / its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.

The stock broker is entitled to disable / freeze the account & /or trading facility / any other service facility, if, in the opinion of the stock broker, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. Applicable brokerage rate

The stock broker is entitled to charge brokerage within the limits prescribed by the Regulators which at present is as under:

- a) For Cash Market Segment: The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. Where the sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- b) For Option contracts: Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs. 100/- (per lot) whichever is higher.

The stock broker shall be entitled to increase the brokerage applicable to the client within the overall limit stipulated by the Regulator after giving the client fifteen days notice.

4. Imposition of penalty / delayed payment charges

The client shall be liable to penalty and other charges on non-payment of margin money, short selling of securities or units, failure of payment of auction, cheque bounce, non-delivery of shares, increase in open position or any orders/trades/deals/actions of the clients which are contrary to this agreement/rules/ regulations/bye-laws of the exchange or any other law for the time being in force as per rules, regulations, guidelines and circulars issued by SEBI and stock exchange from time to time. Similarly, in case of non receipt of full payment of value of delivery purchased, margin imposed (initial plus exposure margin plus marked to market loss plus any other margin as imposed) delayed payment charges will be charged at 18% per annum (subject to increase with prior notice of 15 days) calculated on daily basis on shortfall amount and the amount of delayed payment charges shall be debited to the account of the client on fortnightly basis.

The client further agrees that the stock broker 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.

All fines/penalties and charges levied due to acts/deeds or transactions of the client will be recovered by the stock broker by debiting directly to the trading account of the client.

It is expressly stated that the stock broker shall not pay any interest whatsoever on the credit balances and/ or funds of the client available with the stock broker unless otherwise explicitly and specifically agreed to.

5. 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.

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or stock broker level / non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the

account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever. In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin /security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security & I or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities / shares at the pre-defined square off time or when Mark to Market (M to M) percentage reaches or crosses a stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (i.e. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face and bear consequent losses, auctions or internal close outs, and, the sale of securities at the sole discretion of stock broker; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide instantaneously the required margin/fund / security or to meet the funds/margins/ securities pay in obligations for the orders / trades / deals of the client, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- i. To withhold any payout of funds / securities.
- ii. To withhold / disable the trading / dealing facility to the client.
- iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.
- iv. To liquidate / square off partially or fully the position of sale and / or purchase in anyone or more securities /contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- v. To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(es) if any, on account of anyone or more steps as enumerated herein above being taken by the

stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

6. Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his / her/ its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The securities delivered short are purchased from market on T+1 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.
- b. If securities cannot be purchased from market due to any reason whatsoever on T+1 day they can be covered from the market on any subsequent trading days. In case any reason whatsoever (any error or omission) any delay in covering of securities leads to higher losses, stock broker will not be liable for the same. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

7. Conditions under which a client may not be allowed to take further position or where stock broker may close the existing position of a client.

These are the following:

- Receipt of a binding order issued by any regulator/authority
- Where taking further position may result in violation of permissible limits
- Where taking further position, in the opinion of stock broker, may be against public policy or any
- Prescribed Law, Rule or Regulation
- Where there is failure on part of the client to meet his obligation
- In the event of stock broker coming to know of Client's insolvency, death or becoming of unsound mind
- Where the stock broker in its absolute discretion considers it to be not prudent to increase its exposure towards the client.

8. Temporarily suspending or closing a client's account at the client's request

- i. The stock broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or/ and regulatory order/action requiring client suspension.
- ii. The client may request the stock broker to temporarily suspend or close permanently his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and/ or other obligation.

9. De-registering a client

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

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- vii. If the Client have taken or suffered to betaken any action for its reorganization, liquidation or dissolution;
- viii. If the Client has made any material misrepresentation of facts.
- ix. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his /her/ its financial position or defaults in any other agreement with the Stock broker;
- xi. If the Client is in breach of any term, condition or covenant of this Agreement;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement.

10. Treatment of Inactive Accounts

- a) **Definition of Inactive Trading Accounts:** In case of trading

account, the term inactive account refer to such account wherein no trades have been carried out since last 12 (Twelve) months across all Exchanges

- b) **Transaction in Inactive Trading Accounts:** The inactive accounts identified based on the above criteria shall be flagged as 'Inactive' by Stock broker in UCC database of all the respective Exchanges. The Stock broker are also required to ensure that any further trading by such client should be allowed only after undertaking sufficient due diligence (including IPV) and obtaining the updated information related to KYC from the concerned Client. Appropriate disciplinary actions may be initiated in case of any trades are executed in any account flagged as 'Inactive'.
- c) All trading stock broker are advised to upload correct status of the client code in the UCC database of the Exchanges prior to the execution of the trades.
- d) **Return of Client Assets:** Stock broker are required to ensure that all client accounts are settled on monthly or quarterly basis (as per the client preferences) in the manner prescribed from time to time.

Incase a stock broker is unable to settle the client accounts due to non-availability of client's bank account and demat account details and non-traceability of client, stock broker are advised to make all efforts to trace the clients to settle their funds and securities lying with them and maintain an audit trail for such efforts made for tracing such clients and settling funds and securities of such clients.

11. Proprietary Trading

The Stock Broker (Jyoti Broking Pvt. Ltd.), hereby informs and declares to the Client that, in addition to the Client level trading, the Stock Broker, undertakes Proprietary Trading.

12. Mode of Payment - to and from the clients

- a) Stock Broker doesn't deal with its Client vis-a-vis their trading byway of cash, accordingly all payments are made or received by them only through banking channels. Further the Client must make payment to the Stock Broker from his designated (as mentioned in the KYC) bank account only.
- b) Stock Broker does not deal with its client vis-a-vis their trading by way of third party cheques. Accordingly, if any payment is made otherwise, then it is not credited to the client account and is held in suspense account.

13. ADDENDUM TO POLICIES AND PROCEDURES AS PER SEBI CIRCULAR CIR / HO / MIRSD / DOP / CIR / P / 2019 / 75 dated 20th JUNE 2019, SEBI/HO/MIRSD/MIRSD-Po-D-1/P/CIR/2022/153 AND SUBSEQUENT FAQ'S ISSUED BY RESPECTIVE EXCHANGES

The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) shall be settled as under:

- a. The securities purchased by the client in CM Segment and

or F&O segment (under physical settlement) for which the payment is made/credit balance is available, in full on or before pay in day shall be transferred to beneficiary demat a/c of the client from Pool a/c within 24 hours of pay out.

- b. The securities purchased by the client in CM Segment and/or F&O segment (under physical settlement) for which the full credit balance is not available in the account of the client or the payment is not/partially made by the client, shall be considered as unpaid and the securities shall be transferred to the beneficiary demat account of the client only followed by creation of auto pledge (without any specific instruction from client) with the reason "unpaid" in favour of a separate account titled- "client unpaid securities pledgee account". Thereafter, a communication (SMS/Email) shall be sent by TM/CM informing about their funds obligation and also about the right of TM/CM to sell the securities in event of failure by client to fulfill their obligation.
- c. If the client fulfill its obligation within 5 working days after the payout TM/CM shall release the pledge so that securities are available to client as free balance.
- d. If the client does not fulfill its fund obligation TM/CM shall dispose off such unpaid securities in the market within 5 trading days after the payout . Before disposing off the securities TM/CM shall give an intimation to client via SMS/Email , one trading day before such sale.
- e. Unpaid securities shall be sold in the market with the UCC of respective client . Profit/Loss on the sale transaction shall be transferred to/adjusted from the respective client account.
- f. TM/CM shall invoke the pledge only against the delivery obligation of the client. On invocation , the securities shall be blocked for early payin in the client's demat account with the trail being maintained in the TM/CM's client unpaid securities pledge account.
- g. Once such securities are blocked for early pay in in client's demat account , the depositories shall verify the block details against client level obligation in accordance with SEBI circular Number SEBI / HO / MIRSD / DO P/P/CIR/2021/595 dated July 16.2021 and SEBI/HO/MIRSD/DOP/P/CIR/2022/109 dated August 18,2022.
- h. Incase such pledge is neither invoked nor released within 7 working days after the payout, the pledge on securities shall be auto released and the securities shall be available to the client as free balance without encumbrance.



Signature of the Client :

Date : - -

(34) Name of the Client :

BROKERAGE CHARGES FOR TRADING ACCOUNT (Tariff Sheet)

Further, I agree to the following terms of doing business

Segment	Sq off %		Sq. off Min (ps)		Settlement %		Settlement Min (ps)	Delivery %	Delivery Min (ps)
	Buy	Sell	Buy	Sell	Buy	Sell			
NSE Cash									
NSE Futures									
NSE Options	2.50%	2.50%	Rs.	Rs.	2.50%	2.50%	Rs.		
NSE Currency Derivative									
NSE Currency Option	2.50%	2.50%	Rs.	Rs.	2.50%	2.50%	Rs.		
BSE Cash									
BSE F&O									

Note: A difference of Rs.15/- only, in total brokerage booked on a particular contract would be charged towards minimum processing fees. Delay payment charges @1.5% p.m. would be charged for debit/shortage in pay in/margin defaults, as per exchange requirements. Depository/Pledge charges for the movement of shares between pool/beneficiary/margin account for pay in/payout or margin purpose will be charged. Transaction charges/statutory charges/courier/administration/processing charges will be charged as applicable.



Signature of the Client :

Name of the Client :

Date : - -

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

Annexure A

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 :

Date : --

Name of the Client :

Client Code :

NON-MANDATORY
DOCUMENTS

NOTICE ON IMPORTANT ISSUES

We draw your attention to certain important issues relevant to your trading activity through us, you must read, understand and agree to abide by the advice given hereunder in respect to the dealing between us. Kindly sign at the end of this document to signify your understanding and acceptance of the matters notified to you herein.

- Please note that the Stock Brokers are not permitted to run any schemes giving "Fixed Returns" to the Clients, and accordingly Jyoti Broking Pvt. Ltd., doesn't operate any scheme giving "Fixed Returns", and you are therefore advised & cautioned to not to be deceived by any person, offering or requesting you join any such scheme.
- Please note that company does not accept cash for any dealings with our clients, whatsoever and accordingly once again caution, advise & warn you to refrain from making any payment to the Company or any person in representative capacity, in cash. We inform you that any payment made by you should only be made through secure banking channels i.e valid & crossed negotiable instrument, compliant with the Rules & Regulations or online, through RTGS/NEFT etc in name of Jyoti Broking Pvt. Ltd. only. Further, credit for payments received is given to the Client's Account, only where the payment has been made from the account of the Client mapped with us. Which Jyoti Broking Pvt. Ltd. shall not bear any risk & responsibility, whatsoever.
- We do hereby inform and notify you that unless otherwise specifically agreed by us in writing, our services do not go beyond the scope as mentioned in the documents executed between us, accordingly the role envisaged to be played by Jyoti Broking Pvt. Ltd. is restricted to facilitating, only and only as a stock - broker, the execution of transactions intended to be executed by you on your own risk and responsibility and as considered suitable by you, taking into consideration, your risk bearing capacity.
- Further you are also informed that none of the employee or agent of Jyoti Broking Pvt. Ltd. is authorized to offer any investment advice, and therefore you are advised to refrain from seeking or place reliance on the advice from any such person. If despite this notice, you choose to seek and rely on any advice, offered by any person, whether related or unrelated to Jyoti Broking Pvt. Ltd. in any manner, you shall be doing so at your own risk and responsibility, and the dealings between you and the person offering the advice shall be absolutely personal between you, and such person, for which Jyoti Broking Pvt. Ltd. will not assume any liability.
- We also reiterate here that the Stock Market is highly volatile and unpredictable market and it is impossible for anyone to predict the future developments in the market place, therefore any one assuring you any returns should not be relied upon by you. Further you are also advised to not to allow or authorize any person to trade on your behalf, in expectation of any assured profit, and must understand that where you authorize or allow any person on your behalf, you would be entering into a "Principle- Agent" relationship with such person and therefore be entirely responsible for his / her actions, whether resulting into "Loss" or "Profit ". Jyoti Broking Pvt. Ltd. also conducts research on various activities of the Stock Market and whenever considered appropriate, shares the knowledge and opinion derived from such research with its clients and others desirous of receiving such information, however as our client, you must understand that such information is only a general opinion of Jyoti Broking Pvt. Ltd., which is not designed for, or takes into consideration, the factors specific to your risk bearing capacity and perception. You are therefore advised to rely only on your own judgment while taking any investment and/or trading decisions. The research reports provided by us are only an expression of the opinion of the concerned researchers; it is neither any advice intending to encourage you to undertake any activity nor any offer to sell or a solicitation to buy any securities. As our client you must also read our opinion published on any website or publications, keeping in mind the contents of this notice to you. Further in order to benefit from the research carried out on its behalf, Jyoti Broking Pvt. Ltd., its directors or its employees may, at their sole discretion may acquire position in the scrips which are the subject matter of such research.

Declaration by Client

I/We have read and understood the contents of the above notice, and state that I/We have no objection to anything mentioned therein and do also hereby agree to abide by the advice offered in the Notice.



Signature of the Client :

Date : --

Name of the Client :

DECLARATION

I / We having complied with the requisite formalities, as prescribed, for being a Client, have opened a trading account with Jyoti Broking Pvt. Ltd..

I/We declare and affirm as under:

- I have attained the age of 18 and do not suffer from any conditions which make me ineligible for entering into a valid and binding contract.
- I/We am/are regular investor in the stock markets in India.
- I/We am/are conversant with the laws, practices, rules, regulations, guidelines, Circular, etc. including, but not limited to those prescribed by the Securities and Exchange Board of India (SEBI), Reserve Bank of India (RBI) and Exchanges. I/We also undertake to keep myself duly informed and understand the implications of any changes that are made of such laws, practices, rules, regulations, guidelines, Circular etc.
- I/We give an undertaking that I/We shall not deal with Jyoti Broking Pvt. Ltd. in any prohibited manner.
- I/We understand that I/We have been advised not to take any investment advice from any of the employees or associates of Jyoti Broking Pvt. Ltd., and in case I/We do so, despite the advice against the same, I/We shall be acting at my/our exclusive risk and responsibility.
- I/We agree to accept any measures; which in the opinion of Jyoti Broking Pvt. Ltd., are required to enhance security procedures, in relation to my/our account & trading.
- Jyoti Broking Pvt. Ltd. may create voice-logs by recording the conversation made, while placing any orders by me, and such voice logs, wherever available, shall be the conclusive proof of the dealings made by /us.
- I/We hereby further declare that I/We will not give any third party shares for settlement of my/our obligations to the Exchange.
- I/We hereby further declare that I/We will not receive or give any money in cash or in kind during the course of my dealings with Jyoti Broking Pvt. Ltd.
- I/We hereby further declare that I am/We are not party to any illegal practices that may be prevalent in the Stock Market.
- I/We hereby further declare that I/We will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading in the Capital Market and Future and Options segment.
- I/We hereby further declare that I/We will not place any order on the Exchange which will reflect as an arrangement for profit or loss transactions. All the orders placed on the exchange will be in the normal market where there is a corresponding underlying securities position in the cash or futures segment of the respective Exchange.
- I am/We are aware and I/We agree to pay Jyoti Broking Pvt. Ltd. the brokerage, commission, fees, processing fees, and other charges which are prescribed by regulators as they exist from time to time and as apply to the client account and transactions and the services that the client receives from the Jyoti Broking Pvt. Ltd..
- I/We hereby further declare that I/We am/are aware of the provisions of the Prevention of Money Laundering Act 2002 (PMLA) as far as they concern me/us as an investor/ client and I /we declare that I /we have never been convicted / barred from dealing in securities market in the past under the said Act.
- I/We confirm that I am /We are in compliance with the "Know Your Client" (KYC) guidelines including conducting due diligence required for Anti Money Laundering (AML) checks as prescribed by the FIU / SEBI. I/We further confirm that all KYC and due diligence process has been followed on a continuous basis as long as our account continues to be held with Trading Member. Further I/We agree to submit / provide all the statutory documents / other compliance details pertaining to my / our trading account whenever required, to fulfil my / our obligation under PMLA.
- I/We hereby / further declare that I/we will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practice either individually or in concert with other persons / entities. In the event of any of the above fraudulent or unfair trade practices are noticed by the exchange or regulatory authorities, then I/we shall be solely responsible for such acts as noticed and you shall not be responsible for my /our illegal and fraudulent and unfair trade practices in the capital market segment and future and options segment of the exchange.
- I/We understand that Jyoti Broking Pvt. Ltd. shall not be responsible of any losses, costs or damages resulting directly or indirectly from the below mentioned circumstances
 - i) any action, omission, suspension or trading, decision or ruling or any exchange or regulatory, governmental or other body or of any other person which is beyond the Trading Member's control (including floor broker, exchange, clearing Member or clearing house).
 - ii) any war, strike, lock-out, national disaster, act of terrorism, delay in postal service or any other delay or inaccuracy in the transmission of orders of other information, or telecommunication or computer system.
 - iii) I/We further understand that the above Force Majeure events do not exempt me/us to fulfill the obligations in my/our account.

- I/We had read and understood the set of documents provided to me/us, and understand that this set of documents, from the date of its execution, supersedes the previous documentation, if any executed between me/us and Jyoti Broking Pvt. Ltd., for the purpose of opening my/our trading account with them.

I/We hereby give this declaration to you without any coercion with sound mind and voluntarily to you which shall be part of /our Client Registration Form and Account Opening Form on the dates mentioned therein.



Signature of the Client :

Date : --

Name of the Client :

AUTHORISATION FOR INFORMATION/CONTRACT NOTES VIA E-MAIL

Jyoti Broking Pvt. Ltd.

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024
Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Date : --

Dear Sir/Madam,

This is inform you that I/we am/are also desirous of receiving the information as below on my/our registered email id as provided in the KYC Form, for the purpose of receiving electronic contract notes (ECN).

- Copy of Rights & Obligations, Internet & Wireless Technology, RDD, Do's & Dont's, Tariff Sheet & Contact Details
- Digitally signed contract notes/bills
- Statement of Accounts / Ledgers
- Statement of Funds and Securities
- Margin statement relating to /our account
- Any other important notice, Circular or communications including changes in the terms and conditions of service.

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 servers, 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 also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) / email id(s).

In case , in any of the above segments / exchanges due to any reason, whatsoever, if you want to send contract notes in physical form , I / we here by permit you to send the same in physical mode.

I/We understand that any change in my /our email ID can be made by you only against a physical letter personally signed by me/us.

I/We undertake to check the information so forwarded, regularly and bring the discrepancies, if any to Jyoti Broking Pvt. Ltd.'s notice within 24 hours of issuance of the same.

Failure on my/our part to check/verify my/our E-mail account on regular basis shall not be a reason for disputing the receipt of the same, at any time and the payment obligations and transactions and trades shall be adhered to and cleared by me/us.

Thanking you,

Yours faithfully,



Signature of the Client :

Name of the Client :

RUNNING ACCOUNT AUTHORIZATION

To,
Jyoti Broking Pvt. Ltd.

Date : --

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024
Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments and Commodity segments, I / we further authorize you to follow these instruction across exchanges & across segments in which I / we have already opened accounts with you or I/we may open account in future. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I/We am/are aware that you and I/we have the option to make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchanges/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds.

Therefore, I /we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit funds from running accounts and make pay-in of funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive funds in settlement of trades/ dealings please keep the monies with you and make credit entries for the same in running accounts of funds maintained by you. Further, the funds can be transferred from one segment to other and from one exchange to another as per the requirements. I/We further authorize you to transfer my funds to clearing members/clearing corporations/exchanges to meet the settlement/margin obligations on my/our behalf as required from time to time or as per the regulations of SEBI/Exchanges. You are authorize to do these acts across all exchanges & segments in which I /we have been / shall be dealing with you.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (register of securities) displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds, if any. I/We agree that I/we shall bring any dispute arising from the statement of accounts or settlement so made to your notice preferably within 7 working days from the date of receipt of funds/securities or statement, as the case may be. Such periodic settlement of running account shall not be necessary for margin trading facilities account when I/We start availing margin trading facility as per SEBI circulars. Further, do not carry out settlement of running account referred to above for collaterals/margin given by me/us in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).


I/We further agree that the funds shall be returned to me/us if I/We have not done any transaction in the 30 calendar days since the last transaction, within three working days irrespective of the date when the running account was previously settled or within the period as may be specified by SEBI/Exchanges from time to time.

Authorisation is subject to changes as prescribed by the Exchanges(s)/SEBI from time to time. I/We also declare that I/We have been duly informed, that I/We reserve the right to revoke this authorization at any time, and also understand that the revocation, if made by me, shall not be applicable against the outstanding obligations on the settlement date. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities / monies under this agreement.

My/Our preference for actual settlement of funds and securities is at least:

Once in a Calender Quarter Once in a Calender Month

Thanking you,
Yours faithfully,


Signature of the Client :

Name of the Client :

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ Authorised Person etc.]

AUTHORISATION FOR DEBITING DEMAT ACCOUNT OPERATING CHARGES

To,
Jyoti Broking Pvt. Ltd.
Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024
Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Date : --

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segment. As my Broker, i.e. agent, I/we authorize you to debit my/our account against the charges raised by you on account of Depository Services Provided by you or by _____ on account of Depository Services Provided by them and bill raised by them in this regard. The details of Demat account(s) are as follows:

Depository	Depository Participant	Beneficiary Account
NSDL / CDSL		
NSDL / CDSL		
NSDL / CDSL		
NSDL / CDSL		

Thanking you,
Yours faithfully,



Signature of the Client :

Name of the Client :

AUTHORISATION FOR INSTRUCTIONS BY THIRD PERSON

To, Date : --
Jyoti Broking Pvt. Ltd.
 Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024
 Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

I have been/shall be dealing through you as my broker i.e. agent on the Cash Segment and/or Futures & Options Segments / Currency Derivatives Segment at NSE/BSE.

I/We authorise Mr./Ms. _____ R/o of _____
 deal/transact on my/our behalf and to place orders, give instructions, make & receive payments of securities and monies, collect contract note bills, order confirmations, trade confirmations, account statements and any other documents or communication. Mr/Ms. is also authorised by me/us to sign any document, settle the account, enter into any compromise and to do any and all act (s) on my/our behalf which I/we can do. And I/we the undersigned do hereby agree and declare and confirm that all the acts and things done by him / her substitute shall be my/our act, deeds and things validity done by me/us to all intents and purposes.

Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier.

I/we agree to indemnify you and keep your indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our authorisation given above.

DETAILS OF THIRD PERSON	
Name	<input style="width: 100%;" type="text"/>
Address	<input style="width: 100%;" type="text"/>
Telephone No.	<input style="width: 40%;" type="text"/> Mobile No. <input style="width: 40%;" type="text"/>
PAN	<input style="width: 100%;" type="text"/>
Relationship of Authorised Representative with the Client	<input style="width: 100%;" type="text"/>
Signature of Authorised Representative : _____	

Thanking you,
 Yours faithfully,

Signature of the Client : Name of the Client :

CONSENT FOR AADHAAR AUTHENTICATION

Date : --

I, the holder of Aadhaar number , hereby give my consent to **Jyoti Broking Pvt. Ltd.** to obtain my Aadhaar number, Name and Fingerprint/ins for authentication with UIDAI. **Jyoti Broking Pvt. Ltd.** has informed me that my identity information would only be used for **e-KYC, CKYC, KRA facilities, Trading in NSE/BSE/FO , Demat Account in NSDL /CDSL** and also informed that my biometrics will not be stored/ shared and will be submitted to CIDR only for the purpose of authentication.

Signature of Client / I agree

Client Name :

Trading Id : **Demat Client id** :

DECLARATION FOR DELIVERING TRADE / BALANCE CONFIRMATION VIA SMS

To,
Jyoti Broking Pvt. Ltd.

Date : --

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024
Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Dear Sirs,

I/We hereby agree and give my/our consent for sending the trade/balance confirmations via SMS and I/We have also understood that we will not receive the telephonic trade/balance confirmations.

For this purpose, I/We would like to confirm following details for the database maintained with you. Please update the records with the same.

MOBILE No.

Sending of the above information to me in the manner as above shall not be construed as violation of any "Do Not Disturb Registry (DND)" made by me.

I understand that providing of the information in the above manner is an additional and voluntary service on your part, and therefore any failure on your part to provide any information in the above manner, for any reason whatsoever, shall not give /us a right to make a claim against you.

Delivery of any information made to /us in the above manner shall be considered as valid delivery of the information so provided.

Thanking you
Yours faithfully,

Name of the Client :



Signature of the Client :

REQUEST FOR TRADE ALERTS THROUGH SMS AND/OR E-MAIL

To,
Jyoti Broking Pvt. Ltd.

Date : --

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024
Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Dear Sir,

I/We have been/ shall be dealing through you as my/our broker on the capital market and/or future & option/currency derivative segment(s).

I/we am/are as a registered client of Jyoti Broking Pvt. Ltd. (JPL) confirm as follows:

1. I/We am/are aware that National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE) provide the details of trades executed on its trading platform to the concerned clients/constituents through SMS and/or e-mail alerts.
2. I/We hereby confirm that I/we wish to receive the trade alerts through (tick whichever is applicable):
 - a) SMS alerts
 - b) E-Mail alerts
3. The alerts should be sent:
 - I. On my registered mobile number / email id as per your records, or
 - II. You are requested to update the mobile number/email id mentioned below in your records and for the purpose of trade alerts:
 - a) Mobile No. :
 - b) E-mail address :

I/ We hereby agree to the terms and conditions specified by the SEBI vide circular no. CIR/MIRSD/15/2011 dated August 2, 2011 and NSE & BSE vide circular no. NSE/INVG/19135 dated October 14, 2011 and 20111118-19 dated 18th November 2011 respectively and circulars/ clarifications issued by SEBI/ exchanges from time to time in this regard. I/We am/are aware that the recipient of SMS/Email alerts on the above mobile number and/or email address can be stopped only on my/our written request.

Thanking you
Yours faithfully,

Name of the Client :



Signature of the Client :

DECLARATION OF JOINT FAMILY BY HUF

To,

Date : --

Jyoti Broking Pvt. Ltd.

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024

Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Client Code: _____

1. WHEREAS the Hindu Undivided Family _____
(hereinafter referred to as 'the said joint family') carrying on business in the firm name and style of _____
_____ at _____
_____ or elsewhere (hereinafter referred to as the said HUF), have or desire to
have Share Trading A/C with Jyoti Broking Pvt. Ltd. (hereinafter referred to as 'Member') we, the undersigned, hereby declare.
- (a) that we are the present adult co-parceners of the said joint family,
- (b) that Sh _____ is the present Karta or Manager of the said Joint Family.
- (c) that we are entitled to trade in shares and open Share Trading Account of the said Joint Family.
- (d) that each one of us has full and unrestricted authority to act on behalf, and bind, the said HUF and all the present as well as future members, both adults and minors, of the said joint family, howsoever constituted from time to time.

LIST OF CO-PARCENERS

Sr. No.	Name of the Family Member	Relationship with karta	Date of Birth	Signature	(All coparceners to sign))
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					

2. We confirm that the affairs of the said joint family and the business of the said HUF are carried on mainly by the Karta/Manager, the said Sh _____ on behalf of and in the interest and for the benefit of all coparceners of the said joint family. We hereby authorize the Karta / Manager Sh _____ on behalf of the HUF to deal on Capital Market segment (CM), Futures and Options segment (F&O) or any other segment that may be introduced by Exchanges in future and the said Trading Member is hereby authorized to honor all instructions oral or written given by him on behalf of the HUF.

Sh. _____ is authorised to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through Jyoti Broking Pvt. Ltd. on behalf of the HUF. He is also 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 open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF to the Member and agree and confirm that any claim due to the Member from the HUF shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said Joint family, including the share of the minor co-parceners, if any.

3. We undertake to advise the Member in writing of any change that may occur in the Karta/Managership or in the constitution of the said joint family or of the said HUF and until receipt of such notice by the Member, the Member will be entitled to regard each of us as a







member of the said joint family and as a partner of the said HUF and all acts, dealings and transactions purporting to have been done on behalf of the said joint family or of the said HUF before the Member shall have received notice in the manner aforesaid, shall be binding on the said joint family and the said HUF and on their respective estates. We shall, however continue to be liable jointly and severally to the Member for all dues and obligations of the said HUF in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.

4. We recognize that beneficiary account can be opened with Depository Participant only in the name of Karta as per rules & regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorize you to recognise the beneficiary account no. with Depository opened in his name of Sh who is the Karta / Manager of this HUF
5. I agree that obligations for share purchase and/or sale by the HUF will be handled and completed through transfers to/from the above mentioned account. I recognise and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the HUF
6. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind, the said H.U.F.

Name of the Minor	Father's Name	Date of Birth

7. We have received and read a copy of the Member's rules and regulations for the conduct of Share Trading Account and Demat Account we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

Yours faithfully

 <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	 <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	 <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
Karta	Co-parcener 1	Co-parcener 2
 <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	 <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	 <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
Co-parcener 3	Co-parcener 4	Co-parcener 5

(Full signatures of Karta and all major co-parceners)

MUTUAL FUND FACILITY

To,
Jyoti Broking Pvt. Ltd.

Date : _____

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024 • Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Sub : Mutual Fund Service System (MFSS)Facility/ BSE StAR Mutual Fund Facility & other MF approved platform.

Sir,
I/We _____ am/are registered as your client with UCC No. _____ for the purpose of trading in the Capital Market segment and/or Derivatives segment. I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and/or BSE StAR MF and/or other MF. For the purpose of availing these facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of this facility and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated November 24, 2009, BSE circular dated December 2, 2009 and as may be specified by the Exchanges from time to time in this regard. I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. I/we agree and authorize you to issue payment on my behalf by debiting my account with the value of my/our transactions along with charges.

I/we therefore request you to register me/us as your client for participating in mutual fund trading facility of exchanges.

Details of terms & conditions for the Investor / Client for using MFSS facility BSE StAR MF & other MF Platform

1. Pre-requisites for becoming Investor / Client for the MFSS facility/ BSE StAR MF /other MF platform.
 - 1.1. The client who is desirous of investing in units of mutual fund schemes through the MFSS / BSE StAR /other MF platform.
 - 1.2. The Client intends to execute his instruction for the subscription/ redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the MFSS / BSE StAR /other MF platform
 - 1.3. The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transacting through the MFI.
 - 1.4. The Client has approached to the MFI with the application for availing the MFSS facility/BSE StAR/other MF platform
 - 1.5. The client has submitted relevant KYC (Know Your Client) details to the MFIs
2. Terms and Conditions
 - 2.1. The client shall be bound by circulars/ notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL/BSE and rules, regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
 - 2.2. The client shall notify the MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the MFSS / BSE STAR/other MF platform or at any time thereafter.
 - 2.3. The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI
 - 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
 - 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
 - 2.6. The client shall ensure continuous compliance with the requirements of the Exchanges, SEBI and AMFI.
 - 2.7. The Client shall pay to the MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that MFI renders to the Client.
 - 2.8. The client will furnish information to the MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
 - 2.9. In the event of non-performance of the obligation by the MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL), other exchanges/Clearing Corporation.
 - 2.10. In case of any dispute between the MFIs and the investors arising out of the MFSS facility/ BSE StAR/other MF platform, exchanges and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Signature of Client



ACKNOWLEDGEMNT

I/We hereby acknowledge with thanks the receipt of a copy of KYC kit with supporting documents, as per SEBI guidelines conveyed through BSE Notice No. 20080624 dt. 24/6/2008 & NSE Circular No. NSE/INSP/2008/67 dt. 23/6/2008 and latest SEBI Circular No. SEBI/HO/MIRSD-POD-1/P/CIR/2023/180 dt. 13/11/2023.

- KYC FORM GUIDANCE NOTE
- RIGHT AND OBLIGATIONS POLICIES AND PROCEDURES
- RISK DISCLOSURE DOCUMENT TARIFF SHEET



Signature of the Client :

Name of the Client :

Client Code :

DECLARATION FOR NAME MISMATCH

I, _____ S/o/W/o _____ Resident at _____ do hereby solemnly affirm and declare as under:-

1. That I am an Indian Citizen and I declare that my name as follow:

In Pan card : _____

In Aadhaar Card: _____

In Bank Account: _____

In additional ID Proof i.e. Voter Id/Passport/Driving License: _____

Further I declare that the all names mentioned in above details documents pertain to me. I request to your open my account name of _____.



Signature of the Client :

Name of the Client :

Client Code :

FACILITY FOR AVAILING ELECTRONIC PAYMENT GATEWAY FOR NET BANKING

To,
Jyoti Broking Pvt. Ltd.

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024
Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Date : --

Dear Sir,

Sub.: Facility for availing Electronic Payment Gateway for Net banking


- a. "Electronic Payment Gateway for net banking terms and conditions" shall mean the terms and conditions as modified from time to time applicable to electronic payment gateway for net banking offered through the Broker in such banks and accepted by the Client.
 - b. "Confidential Information" shall mean information obtained by the Client, through the Broker, for the effective availment of services.
 - c. "Payment Instructions" shall mean an instruction given by a Client to transfer funds from the account held by the Client to the account of the Broker.
 - d. "Client" refers to any person who has a Broker account and who has been authorized by the Broker to avail of the said facility.
 - e. "Account" refers to the Client's savings and/or current account to which access is to be obtained through Electronic Payment Gateway for net banking.
 - f. "Personal Information" refers to the information about the Client obtained in connection with Electronic Payment Gateway for net banking or otherwise.
1. Electronic Payment Gateway for net banking services is the Broker's service which provides access to account information, the internet with the help of the concerned bank.
 2. Application for Electronic Payment Gateway for net banking: The Broker may offer electronic Payment Gateway for net banking to selected Clients at its discretion in collaboration with the concerned bank(s). The Client agrees that in order to be eligible for Electronic Payment Gateway for net banking he/she/it would need to be a current internet user or have access to the internet and knowledge of how the internet works and have net banking facility with his/her/its bank. The Client accepts that the application for Electronic Payment Gateway for net banking does not automatically imply acceptance by the Broker.
 3. The Broker shall use its best efforts to provide through Electronic Payment Gateway for net banking, such services as the Broker may decide from time to time. The availability/non-availability of a particular service shall be advised through email or web page of the Broker or through sms on mobile phone or any other similar device or through any other suitable or applicable mode or manner. In case of joint accounts with two or more signatories, the Broker shall offer such services as restricted by the terms and conditions governing the operation of such accounts. In case of minor's account, the natural guardian undertakes to give all instructions relating to the operation of the account and further undertakes not to reveal the Client Id and password to the minor.
 4. The Client agrees that he/she/it will not use or permit to use Electronic Payment Gateway for net banking or any related service for any illegal or improper purposes.
 5. The Client understands that the Broker would allot them a Client ID and password for their account, which would enable them to have access to the web site and Electronic Payment Gateway for net banking to perform net banking for bank account. The Client will be required to change the password assigned by the Broker on accessing the internet and the Electronic Payment Gateway for net banking for the first time. As a safety measure the Client changes the password as frequently thereafter as possible.
 6. In the absence of any specific request from the Client for personally collecting the password, the password shall be sent to the Client by e-mail or such postal mode at his/her/its risk and consequences, to the email address / postal address notified by the Client for correspondence, Broker shall not be liable or held responsible in any manner whatsoever, if the password falls in the hands of unauthorized person(s).
 7. All the requests for instantaneous transactions will be given effect to instantaneously. In case requests for effecting any transactions are received on weekly off/holiday/public holidays/ with the Broker, the Exchange and bank, they shall be effected on the immediately succeeding working day on the terms and conditions prevailing on that day.
 8. The Client has the full right and/or authority to access and avail of the services obtained and they shall observe and comply with the applicable laws and regulation in each jurisdiction in applicable territories. They shall not access family/friends/relatives and/or any other person(s) account through this gateway facility for transfer of funds and if done so then the Client shall be solely responsible for the transfer of funds. And further undertake that if any such claim is made by third party so affected then they shall be solely responsible

and not the Broker in any manner whatsoever. The Client shall not involve the Broker as a party to' such transaction.

- 9. The Client agrees to provide the Broker such assistance as may be required by the Broker and bear all necessary charges for availing the services as may be stipulated by the Broker from time to time.
- 10. The Client shall not disclose the account information to any person including the Client Id and password provided by the Broker.
- 11. The grant of facility of Electronic Payment Gateway for net banking to the Client is non-transferable under any circumstances and shall be used only by the Client.
- 12. The Broker may withdraw the services at any time at its sole discretion.

I/We (Client) hereby acknowledge that I/We am/are availing the website facility and payment instruction service at my own risk. These risks would include but not be limited to the following risks: (i) misuse of password; (ii) internet frauds; (iii) mistakes and errors; (iv) transactions; (v) technology risks; (vi) maximum and minimum limits of funds that may be transferred by virtue of the payment transfer service given to me/us. I/We shall indemnify the Broker from and against all losses, damages, costs that may be caused as a consequence of breach of any of the Electronic Payment Gateway for net banking terms and conditions mentioned therein.

Thanking you,
Yours faithfully,

 Signature of the Client :

Name of the Client :

VERBAL ORDER ACCEPTANCE AUTHORISATION

To,
Jyoti Broking Pvt. Ltd.
Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024
Tel.: 011-46059400 (30 Lines) Fax : 011-24337131


Date : --

I/We have been / shall be dealing through you as my / our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments / Currency Derivative Segments. This instruction is applicable for all the exchanges / segments in which I / We have opted to open the account with you. As my / our broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

As I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my / my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under mine/our instructions.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,
Yours faithfully,

 Signature of the Client :

Name of the Client :

CLIENT DECLARATION FOR SAME MOBILE AND E-MAIL IN FAMILY ACCOUNTS

To,
Jyoti Broking Pvt. Ltd.
 Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024
 Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Date : --

Dear Sir,

SUB.: SMS and E-mail Alerts to Investors by Stock Exchanges(NSE/BSE/FO) AND DEPOSITORY (NSDL / CDSL)

With reference to **SEBI Circular No. CIR/MIRSD/15/2011 dated 02.08.2011 read with BSE Notices, Nse Circulars and I/We wish to avail the following facility.**

My/our Mobile No. is _____ (Compulsory for any of aforesaid facility)

My/our Email Id is _____ (Compulsory for facility)

Aforesaid Mobile No. and Email Id are also used for / by your following client (my relations), who also wish/es to avail the aforesaid ticked facility, and , as per requirement, my PAN be recorded as Master PAN in the Client Registration System:

S.No.	Relationship	Name	Client Code	Pan	Sig
1.	Dependent Father				
2.	Dependent Mother				
3.	Spouse				
4.	Dependent Major Children				
	(i)				
	(ii)				
5.	HUF				
6.	COMPANY				

I/We hereby confirm that above mentioned details provided by me/us true & correct. I/We authorized Jyoti Broking PVT. LTD. for submission/uploading above details to the stock exchanges.

Thanks & Regards

Name & Signature of Client :

Client Code :

Client Name :

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18,2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23,2006 and ISD/AML/CIR-1/2010 dated Feb. 12, 2010 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information within the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.



Signature of the Client :

Name of the Client :









TO BE EXECUTED ON STAMP PAPER

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

I/We S/o D/o W/o
 I/We S/o D/o W/o
 I/We S/o D/o W/o
 R/o.....

hold a Beneficiary account no (BO-ID) with NSDL through
 Jyoti Broking PVT LTD. bearing DP-ID IN302050 and Trading Account with client code _____, hereby authorize and give
 my consent to Jyoti Broking Pvt. Ltd. (Trading Member and Depository Participant) to access my/our Beneficiary account for limited
 purpose of meeting pay-in obligations for settlement of trades executed by me/us and for pledging/re-pledging of securities for meeting
 my/our margin requirements.

The use of DDPI shall be limited only for the following purposes:

	Particulars	Signature of Client*
1)	For transfer of securities held in my/our account towards (NSE/BSE/MCX) Stock Exchange related deliveries/settlement obligations arising out of trades executed by me/us the Stock Exchange -NSE/BSE/MCX through Jyoti Broking Pvt. Ltd.	 _____ Signature of First Holder:  _____ Signature of Second Holder:  _____ Signature of Third Holder:
2)	For pledging /re-pledging of securities in favor of the Jyoti Broking Pvt. Ltd.(TM/CM) for the purpose of meeting margin requirements of me/us in connection with the trades executed by me/us on the Stock exchange (NSE/BSE/MCX) .	 _____ Signature of First Holder:  _____ Signature of Second Holder:  _____ Signature of Third Holder:
3)	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 _____ Signature of First Holder:
4)	Tendering shares in open offer through Stock Exchange platforms	 _____ Signature of First Holder:

*the same may be e-signed or signed physically against each purpose of DDPI. The same may also be eSigned. In case of eSign, client shall be given an option for choosing the specific purpose(s) of DDPI.

I / We further agree and confirm that the powers and authorities conferred by these above instructions shall continue until I / We have given to the Depository Participant advance notice in writing to the contrary

I/We have signed this at DAY OF 2022.



 Sole/First Holder Signature



 Second Holder Signature



 Third Holder Signature

DEMAT ACCOUNT

----- Please Tear Here -----

ACKNOWLEDGEMENT

TO BE FILLED IN BY CLIENT

Application Sr. No.

I/We hereby acknowledge the receipt of the Account Opening Application Form from:

Name & Address _____

along with the enclosures. (Account will be opened provided all documents are found to be in order)



----- Please Tear Here -----

ACKNOWLEDGEMENT



Jyoti Broking Pvt. Ltd.

Member : NSE, BSE • DP (NSDL) DP ID : IN302050 | SEBI REGN. NO. (CDSL/NSDL) : IN-DP-443-2019

Member : NSE, BSE • DP (CDSL) DP ID : 12030100 |

Regd. Office: Unit No. 1002, 10th Floor, DLF City Court, M.G. Road, Gurugram 122002 (Haryana)

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024 • Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Received the application form Mr./Ms. _____ as the sole/first holder alongwith _____ and _____ as the second holder and third holder respectively for opening of depository account in NSDL and/or CDSL. Please quote the DP ID & Client ID allotted to you in your future correspondence.

Date : ____ / ____ / ____

Participant Stamp & Signature

F. BANK DETAILS

1. Bank Account Type Savings Account Current Account Others (Please Specify) _____

2. Bank Account No. [Grid]

3. Bank Name [Grid]

4. Branch Address [Grid]

City / Town / Village [Grid] PIN Code [Grid]

State [Grid] Country [Grid]

5. MICR Code [Grid] 6. IFSC [Grid]

G. PLEASE TICK, IF APPLICABLE

Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

H. STANDING INSTRUCTIONS

1. I/We authorise you to receive credits automatically into my / our account. Yes No
(If you do not wish to receive credits automatically please tick on "No" and cross the option "Yes")

2. Account to be operated through POA/DDPI Yes No

3. SMS Alert facility: [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]

1. Sole / First Holder Yes No 2. Second Holder Yes No 3. Third Holder Yes No

4. Mode of receiving Statement of Account Physical Form Electronic Form [Read Note 4 and ensure that Email Id is provided in KYC Application Form].
[Tick any one]

I. GUARDIAN DETAILS (where sole holder is a minor):

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name [Grid]

[Grid] PAN [Grid]

Relationship of guardian with minor [Grid]

	Name(s) of Holder(s)	Signature(s) of Holder(s)
First Signatory	[Grid]	[Signature Line]
Second Signatory	[Grid]	[Signature Line]
Third Signatory	[Grid]	[Signature Line]

Bank Details [Dividend Bank Details]				(* 9 digit MICR Code)	(# 11 Character)	
MICR Code*				IFSC Code#		
Bank A/c No.				Bank A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others <u>Pl. Specify</u>	
Bank Name				Branch Name		
Bank Branch Address	City/town/village			PIN Code		
	State			Country		

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
 - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details										
Gross Annual Income Details	Income Range per annum <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,001 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,001 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,001 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,001 Net worth as on (Date) ____/____/20__ Rs. _____ [Net worth should not be older than 1 year]									
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____									
Please tick, if Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)									
Any other information										
SMS Alerts Facility	Mobile No. + 9 1 _____ [(Mandatory , if you are giving Power of Attorney (POA)] [(If POA is not granted & you do not wish to avail of this facility, cancel this option).]									
Refer to Terms & Conditions given as Annexure 2.4										
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">Stock Exchange Name / ID</td> <td style="width: 33%;">Clearing Member Name</td> <td style="width: 33%;">Clearing Member ID (Optional)</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)	_____	_____	_____	_____	_____	_____
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)								
_____	_____	_____								
_____	_____	_____								
	To register for easi, please visit our website : www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

Nomination Details

I/We the Sole Holder / Joint Holder / Guardian (in case of minor) hereby declare that

Nomination Regn. No. _____ Dated DDMMYY

I/We do not wish to nominate any one for this demat account

I/We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my/our death.

Full Name of the Nominee												
Address												
	City/town/village								PIN Code			
	State							Country				
Telephone No.							Fax No.					
PAN							UID					
E-mail ID												
Relationship with BO (if any)												
Date of Birth (mandatory If nominee is a minor)	<u>DD</u>	<u>MM</u>	<u>YY</u>	<u>YY</u>	<u>YY</u>	<u>YY</u>						

CDSL

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I/We appoint following person to act as Guardian:




Full Name of Guardian Of Nominee																												
Address																												
	City/town/village														PIN Code													
	State										Country																	
Telephone No.															Fax No.													
E-mail ID																												
Relationship of Guardian with Nominee																												

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Note : Two witnesses shall attest signature(s) / thumb impression(s)

DETAILS OF THE WITNESS																												
	First Witness	Second Witness																										
Name of witness																												
Address of witness																												
Signature of witness																												

I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder																																							
Name																																										
Signature																																										

(Signatures should be preferably in black ink).

Bank Details [Dividend Bank Details]				(* 9 digit MICR Code)	(# 11 Character)
Bank Code*	<input type="text"/>	IFSC Code#	<input type="text"/>		
Bank A/c No.	<input type="text"/>	Bank A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others <u>Pl. Specify</u>		
Bank Name	<input type="text"/>	Branch Name	<input type="text"/>		
Bank Branch Address	City/town/village			PIN Code	<input type="text"/>
	State			Country	<input type="text"/>

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
 - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details

Gross Annual Income Details	Income Range per annum <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,001 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,001 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,001 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,001 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs. 1,00,00,000 Net worth as on (Date) ___/___/20___ Rs. _____ [Net worth should not be older than 1 year]				
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) . Please provide details as per Annexure 2.2 A.					
Any other information					
SMS Alerts Facility	Mobile No.	+ 9 1 <input type="text"/>			
Refer to Terms & Conditions given as Annexure 2.4	[(Mandatory , if you are giving Power of Attorney (POA)] [(If POA is not granted & you do not wish to avail of this facility, cancel this option).]				
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST				
	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)		
	<input type="text"/>	<input type="text"/>	<input type="text"/>		
	To register for easi, please visit our website : www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.				

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
Designation	<input type="text"/>	<input type="text"/>	<input type="text"/>
Signature			

(Signatures should be preferably in black ink).

(In case of more authorised signatories, please add annexure)

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be

sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service



.....
Sole/First Holder Signature



.....
Second Holder Signature



.....
Third Holder Signature

provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized

access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :




Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

DP ID	1	2	0	3	0	1	0	0	Client ID										
First Holder's Name	:																		
Second Holder's Name	:																		
Third Holder's Name	:																		
Mobile No. on which messages are to be sent	+	9	1																
(Please write only the mobile number without prefixing country code or zero)																			
The Mobile Number is registered in the name of :	_____																		
E-mail Id:	_____																		
(Please write only ONE valid email Id on which communication; if any, is to be sent)																			
																			
Sole/First Holder Signature	Second Holder Signature	Third Holder Signature																	
IN CASE OF JOINT HOLDERS, ALL JOINT HOLDERS MUST SIGN.																			
* Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).																			
Place:.....																		Date:.....	



RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI.

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

32. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ACKNOWLEDGEMENT

I/We acknowledge the receipt of copy of 'Right and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories'. I/We have read and understood the contents of these and agree to abide by them.



.....
Sole/First Holder Signature



.....
Second Holder Signature



.....
Third Holder Signature

FORMAT OF THE BOARD RESOLUTION

(on letter head of company)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED BY THE BOARD OF DIRECTORS OF _____
_____ AT THEIR MEETING HELD ON _____ AT THEIR REGISTERED
OFFICE _____

1. Resolved that a Corporate Beneficiary/ Clearing Member Account be opened for Trading and Depository purpose with Jyoti Broking Pvt. Ltd., Regd. Office : Unit No. 1002, 10th Floor, DLF City Court, M.G. Road, Gurugram 122002 (Haryana)
2. Further Resolved that Mr. _____, and Mr. _____ Authorised Signatory of the company whose specimen signatures are attested below be jointly/severally authorised to sign on behalf of the company, all documents and forms relating to such account (in relation to debit or credit or otherwise) in such forms as may be required by Jyoti Broking Pvt. Ltd. and further any instructions, indemnities and counter indemnities which may be required by Jyoti Broking Pvt. Ltd. from the company in connection with the above mentioned account.
3. That this resolution be communicated to Jyoti Broking Pvt. Ltd. and remain in force until notice in writing be given to Jyoti Broking Pvt. Ltd.

For : _____

Specimen Signature of :

Mr. _____

Mr. _____

Director : _____

Attested by

Director

INTRODUCTION

(by an existing account holder/applicant's bank)

DP-ID IN _____ Client ID _____ (In case of existing account holder.)

I confirm the identity and address of the applicant(s)

Name : _____

Address : _____

: _____

Signature of Introducer/Signature and
Seal in case of Bank (To be verified by DP Official)

AUTHORISATION FOR PROVIDING DP TRANSACTION STATEMENT BY EMAIL OR ON WEBSITE

To,
Jyoti Broking Pvt. Ltd.
Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024

Dear Sir,

As per clause 6 of DP Client agreement you are required to provide me/us transaction statement including statement of account.

1. I/we understand that, I/we have the option to receive transaction statement by email or on website. in pursuance of the same, I/We hereby opt for receipt of transaction statement (including but not limited to statement of account holding statement or any other communication) through emailor on website.
2. I/we is/are aware that I/we will not receive the transaction statement in paper form.
3. I/we will take all the necessary means to ensure confidentiality and secrecy of the login name and password of the internet/email account.
4. I/we, is/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised, in which case. I/we shall not hold you responsible in any manner.
5. I/we shall immediately inform the DP about change in email address if any, in case transaction statement are send by email.
6. I/we/you shall have the right to terminate this service by giving a 10 days written notice in advance.

Thanking you,
Yours faithfully



.....
Sole/First Holder Signature

Place :.....



.....
Second Holder Signature



.....
Third Holder Signature

Date :.....



DECLARATION FOR AVAILING OF BASIC SERVICES DEMAT ACCOUNT (BSDA) FACILITY

To,

Date : --

Jyoti Broking Pvt. Ltd.

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024

Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

Dear Sir / Madam

- I / We wish / do not wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form
- I / We wish / do not wish to avail the BSDA facility for my / our mentioned demat account number

DP ID


CLIENT ID

	NAME	PAN							
Sole / First Holder									
Second Holder									
Third Holder									

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines form time to time. I/We also undertake to comply with the guidelines issued by any such authority for BSDA facility form time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed the DP.

I, the first / Sole holder also hereby declare that I do not have / propose to have nay other demat account across depositories as first / sole holder.


.....
Sole/First Holder Signature


.....
Second Holder Signature


.....
Third Holder Signature

----- Please Tear Here -----

ACKNOWLEDGEMENT

Received BSDA declaration form from :

DP ID

CLIENT ID

NAME	
ADDRESS	

Date : --

Depository Participant Seal and Signature

*If availing for BSDA A/c then BSDA charge structure will be applicable with immediate effect.

----- Please Tear Here -----



Jyoti Broking Pvt. Ltd.

CIN: U74899HR1980PTC36599

Member : NSE, BSE • DP (NSDL) DP ID : IN302050 | SEBI REGN. NO.: IN-DP-NSDL-170-2000

Regd. Office: Unit No. 1002, 10th Floor, DLF City Court, M.G. Road, Gurugram 122002 (Haryana)

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024 • Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

NSDL - CHARGE STRUCTURE : SCHEDULE - A w.e.f. 1st January 2024

	SCHEME-A	SCHEME-B	*SCHEME-C*
A/c maintenance charges Pool/CUSPA	750/-per month	750/-per month	750/-per month
Documentation Charges	NIL	NIL	One time AMC
A/c opening	NIL	NIL	NIL
A/c Maintenance	Rs. 250/- p.a.	Rs. 500/-p.a.	Rs. 800/- upfront
Dematerialization	Rs. 3/- per certificate plus courier charges Rs. 25/-	Rs. 3/- per certificate plus courier charges Rs. 25/-	Rs. 2/- per certificate plus courier charges Rs. 25/-
Rematerialisation	Rs. 35/- over and above NSDL charges	Rs. 35/-over and above NSDL charges	Rs. 35/-over and above NSDL charges
Modification Charges	Rs. 25/- per request (in case of frequent changes)	Rs. 25/- per request (in case of frequent changes)	Rs. 25/- per request (in case of frequent changes)
Transaction Charges (Delivery) (market + off market) Pool/CUSA	0.02% of the value of transaction or Minimum Rs. 16/- (whichever is higher)	0.02% of the value of transaction or Minimum Rs. 15/- (whichever is higher)	0.02% of the value of transaction or Minimum Rs. 25/- (whichever is higher)
Margin Pledge Initiation	Rs. 10/- per instructions	Rs. 10/- per instructions	Rs. 10/- per instructions
Margin Pledge Closure	Rs. 10/- per instructions	Rs. 10/- per instructions	Rs. 10/- per instructions
Margin Pledge Invocation	Rs. 5/- per instructions	Rs. 5/- per instructions	Rs. 5/- per instructions
MTF Pledge Initiation	Rs. 35/- per instructions	Rs. 35/- per instructions	Rs. 35/- per instructions
MTF Un-Pledge	Rs. 10/- per instructions	Rs. 10/- per instructions	Rs. 10/- per instructions
Inter Settlement Charges Pool/CUSPA Amount	Rs. 15/- per instruction	Rs. 15/- per instruction	Rs. 15/- per instruction
Transfer from CM to CM Account	Rs. 15/- per instruction	Rs. 15/- per instruction	Rs. 15/- per instruction
Instruction Book charges	Rs. 40/- per book (20 Leaves)	Rs. 40/- per book (20 Leaves)	Rs. 40/- per book (20 Leaves)
Non Periodic Statement of holding charges	Rs. 20/- per page plus courier/postage charges	Rs. 20/- per page plus courier/postage charges	Rs. 20/- per page plus courier/postage charges
Annual Maintenance charges for Password based SPEED=e user	Rs. 150/-	Rs. 150/-	Rs. 150/-
Etoken based speede	Rs. 600/-	Rs. 600/-	Rs. 550/-

Please Note:

- Billing will be done on monthly basis.
- Rejection on failure of delivery instruction Rs. 30/- per instruction.
- Instructions through fax are not permissible. **A client who intends to send instructions through fax must execute an indemnity before doing so and original instruction must reach at our office within 24 hours.**
- The Depository rules regulations and charges are subject to change from time to time as per NSDL revision.
- Transmission charges Rs. 50/-, Modification charges-Rs. 25/- per request.**
- GST will be applicable.
- All cheques/ Draft should be in favour of 'Jyoti Broking Pvt. Ltd.'
- Charges/services are subject to revision by giving not less than 30 days notice. Billing of the month will be done in the succeeding month.
- Any hardware/software cost for SPEED-e like SMART CARD Reader, etc. shall be borne by the account holder (upfront)**
- Non-periodic statement shall be charged @ Rs. 20/- page plus courier charges as actuals.
- Minimum credit balance of Rs. 300/- shall be maintained as advance towards future charges.
- In case of Demat Rejection postage will be charged @ Rs. 25/- for despatch to the client for removal of objection.
- In case of non payment of dues within one month, interest @ 2% will be charged.
- Management reserves the right to freeze, discontinue or suspend any account, if required.
- Charges quoted above are for services listed. Any service not quoted above will be charged separately.
- Depository Charges of broking client will be debited to their trading account.
- In case of BSDA Services the above schedule of charges will get amended as per regulatory guidelines.
- For Corporate account Rs. 500/- fixed will be charged annually as actuals by NSDL.

I have read above the scheme of charges and notes. Please place my/our account under Scheme one marked (✓) A B C

For Jyoti Broking Pvt. Ltd.

Authorised Signatory



.....
Sole/First Holder Signature



.....
Second Holder Signature



.....
Third Holder Signature



**Jyoti Broking Pvt. Ltd.**

CIN: U74899HR1980PTC36599

Member : NSE, BSE • DP (CDSL) DP ID : 12030100 | SEBI REGN. NO.: IN-DP-CDSL-207-2003

Regd. Office: Unit No. 1002, 10th Floor, DLF City Court, M.G. Road, Gurugram 122002 (Haryana)

Corp. Office : B-78, 3rd Floor, Defence Colony, New Delhi-110024 • Tel.: 011-46059400 (30 Lines) Fax : 011-24337131

CDSL - CHARGE STRUCTURE : SCHEDULE - A w.e.f. 1st April 2005

	Scheme-A	Scheme-B
Stamp Paper Charges	Rs. 50/-	Rs. 50/-
A/c opening	NIL	NIL
A/c Maintenance	Rs. 300/- p.a.	Rs. 900/-p.a.
A/c Maintenance for Corporate A/cs	Rs. 600/- p.a.	Rs. 1200/-p.a.
Dematerialization	Rs. 3/- per certificate plus courier charges Rs. 25/-	Rs. 2/- per certificate plus courier charges Rs. 25/-
Rematerialisation	Rs. 35/- over and above CDSL charges	Rs. 35/-over and above CDSL charges
Custody Fees	NIL	NIL
Transaction Charges (Delivery) (market + offmarket) Receipt	0.03% of the value of transaction or Minimum Rs.20/- (whichever is higher) NIL	0.03% of the value of transaction or Minimum Rs. 18/- (whichever is higher) NIL
Pledge Creation/	0.03% of the value of the pledged (minimum of Rs. 50/- per pledge instruction)	0.03% of the value of the pledged (minimum of Rs. 50/- per pledge instruction)
Closure	securities (minimum of Rs. 50/- per pledge instruction)	securities (minimum of Rs. 50/- per pledge instruction)
Invocation	0.05% of the value of securities invoked (minimum of Rs. 25/- per transaction)	0.05% of the value of securities invoked (minimum of Rs. 25/- per transaction).
Instruction Book charges	Rs. 30/- per book(20 Leaves)	Rs. 30/- per book(20 Leaves)
Non periodic Statement of holding charges	Rs. 20/- per page plus courier/postage charges	Rs. 10/- per page plus courier/postage charges

Please Note:

- Billing will be done on monthly basis.
- Rejection on failure of delivery instruction-Rs30/-per instruction.
- Instructions through fax are not permissible. **A client who intends to send instructions through fax must execute an indemnity before doing so and original instruction must reach at our office within 24 hours.**
- The Depository rules regulations and charges are subject to change from time to time as per CDSL revision.
- Transmission charges-Rs.50/- , Modification charges-Rs. 25/- per request.**
- GST will be applicable.
- All cheques/ Draft should be in favour of "Jyoti Broking Pvt. Ltd."
- Charges/services are subject to revision by giving not less than 30 days notice.
Billing of the month will be done in the succeeding month.
- In case of Demat rejection postage shall be charged @ Rs. 20/- for dispatch to the client for removal of objection.**
- Non-periodic statement shall be charged @ Rs. 25/- page plus courier charges as actuals.
- In case of non payment of dues within 30 days , interest @2% shall be charged.
- In case of easiest Services the above schedule of charges will get amended as per regulatory guidelines.
- In case of BSDA Services the above schedule of charges will get amended as per regulatory guidelines.
- For Corporate account Rs. 500/- fixed will be charged annually as actuals by CDSL.

Note: Advance payment required to be maintained of Rs. 500/- for future bills.

I have read the schemes of charges and the notes above. Please place my/our account under Scheme

A B

For Jyoti Broking Pvt. Ltd.



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

Authorised Signatory

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 Letter
 Z — Others (Any document notified by Central Government)
 Identification Number

3. Contact Details (in CAPITAL)

Email ID*
 E-MAIL ID given by me belong to Me Spouse Dependent Children Dependent Parent
 E-MAIL ID is registered in name of Who's PAN No. is
 Mobile No.*
 MOBILE (Primary) given by me belong to Me Spouse Dependent Children Dependent Parent
 MOBILE is registered in name of Who's PAN No. is
 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 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
 Emp. Code
 Emp. Designation

- Self certified document copies received (OVD)
 True Copies of documents received (Attested)
 AMC / Intermediary Name:

Jyoti Broking Pvt. Ltd.

Employee Signature and Stamp

Institution Name & Stamp

ASSURING YOUR
Progressive
GROWTH



CORPORATE OFFICE:

B-78, 3rd Floor, Defence Colony, New Delhi-110024

REGISTERED OFFICE:

Unit No. 1002, 10th Floor, DLF City Court, M.G. Road, Gurugram 122002 (Haryana)

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