



Sukesh Jain Securities Private Limited

Individual Account opening form

Sukesh Jain Securities Private Ltd.
Registered Office:55 Guru Road, Dehradun,Uttarakhand-248001
Corporate Office :37,Pipal Mandi, Dehradun,Uttarakhand-248001
Contact No.:-9997878541, 7060038027

Instructions / checklist 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 authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicants 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 authorized 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. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 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 apostilled 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 Court se.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 up to Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institutions as defined under section 4A of the 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 authorized 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, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

F. 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.

G. 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.

H. Demat master or recent holding statement issued by DP bearing name of the client.

For Individuals:

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub broker's office.
- b. 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:

- a. Form need to be initialized by all the authorized signatories.
Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/others & their specimen

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No.	Document	Brief Significance of the Document	Page
Mandatory documents as prescribed by SEBI & Exchanges			
1.	Account Opening Form	KYC form - Document captures the basic information about the First / Sole Holder	1 - 2
		a) Document captures the additional information about the client relevant to trading account	3 - 5
		b) Document detailing the rate / amount of brokerage & other charges levied on the client for trading on the stock exchange(s)	6
		c) Investor's Grievance Contact Details	7
		d) Additional rights & obligations in case of internet / wireless technology based trading & SLBM segments	8
		e) Most Important Terms and Conditions(MITC)	9
2.	Rights & Obligations	Document stating the Rights & Obligations of stock broker / trading member, sub- broker & client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading & SLBM segments)	Annexure - A
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	Annexure - B
4.	Guidance Notes	Document detailing Do's & Don'ts for trading on exchange, for the education of the investors	Annexure - C
5.	Policies & Procedures	Document describing significant policies & procedures of the stock broker	Annexure - D
Documents for opening a Demat Account			
6.	Demat Account Form	a) Type of Demat Account & Various Options	10
		b) DP Tariff Sheet: Document dealing various charges that shall be levied for Demat Account	11
		c) Rights & Obligations of DP & BO	Annexure-E
		d) Annexure 2.4 (SMART: Terms & Conditions for receiving SMS Alerts from CDSL)	Annexure-F
		e) Annexure 2.6 (Terms & Conditions for availing TRUST Service offered by CDSL)	Annexure-G
Voluntary Documents			
7.		a) DDPI - Demat Debit and Pledge Instruction	12- 14
		b) Running Account Authorisation & Settlement of Funds & Securities	15
		c) Telephonic Instruction / Voice Logger / SMS Facility / Authority Letter / Demat Charges Authorization / Internet Mobile Based Application / Error and Omissions/No market manipulation / Not Debarred by any regulator / PMLA declaration / Indemnification / Indemnity of Joint Holders/ BSE Star Mutual Fund Facility/ Delayed Payment charges / NRI Declaration / Third Party payments / No dealing in Cash / Disclosure of Proprietary trading by Suresh Jain Securities Private Limited / Deliveries / Squaring off of positions & sale / liquidation of collateral margins/Not to act as unregistered Sub-Broker	16-18
		d) Revocation of Authorizations / Opting out of BSDA Facility/Client Defaulter Declaration	19
		e) Collection details of any Nomination made for the account	Annexure 1A
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		g) Request for bill/transaction/holding statement through email.	Annexure 2

SEBI Registration Details

Segment	Registration Number	Date
Stock Broking	INZ000233631	11th March 2019
Depository Participant	IN-DP-50-2015	18th March 2015

KYC BASIC DETAILS

FIRST / SOLE HOLDER

Application Type*	☐ New ☐ Update	KYC Number													
Account Type*	☐ Normal ☐ Simplified (For Low Risk Customers)		☐ Small		(Mandatory for KYC update request)										

PERSONAL DETAILS *(Please Refer Instruction A)*

Name		Mr / Mrs															
Maiden Name (If Any)		Miss															
Father's / Spouse Name		Mr / Mrs															
Mother's Name		Mrs															
Gender	☐ Male ☐ Female ☐ Transgender				Marital Status	☐ Single ☐ Married ☐ Others											
Nationality	☐ Indian ☐ Other		Country Code				DOB	D	D	-	M	M	-	Y	Y	Y	
Residential Status	☐ Resident Individual ☐ Non-Resident Indian ☐ Foreign National ☐ Person of Indian Origin																
Occupation Type	☐ S-Service ☐ Private Sector ☐ Public Sector ☐ Government Sector																
	☐ O-Others ☐ Professional ☐ Self Employed ☐ Retired ☐ Homemaker ☐ Student																
	☐ B-Business ☐ X - Not-Categorised																



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PROOF OF IDENTITY *(Please Refer Instruction B)*[illegible]**PROOF OF ADDRESS** *(Please Refer Instruction C)*

Current / Permanent / Overseas Address Details

Address Type	Resident / Business	Residential	Business	Registered Office	Unspecified							
Address Proof	Aadhaar Card	Driving License	Passport	Voter Identity Card	Bank A/c Statement / Passbook							
	Latest Telephone (Landline) / Electricity / Gas Bill			Others_____								
	Simplified Measures Account - Document Type Code											
Address _____ _____ _____ _____												
City / Town / Village			District			PIN						
State		Code			Country	India / _____		Country Code		I	N	

Correspondence / Local Address Details *(Please Refer Instruction D)*

☐ Same as Current / Permanent / Overseas Address Details

Address _____ _____ _____ _____												
City / Town / Village			District			PIN						
State			Code		Country		India / _____		Country Code		I N	

(In Case of Multiple Correspondence / Local Addresses. Please Fill Annexure A1)

CONTACT DETAILS *(Please Refer Instruction E)*

Tel (Res)											Tel (Office)										
Mobile	+91										Fax										
E - Mail ID																					

FATCA/ CRS DECLARATION

(Please Refer Instruction F)

Are You a Tax Resident (i.e. Are you assessed for tax) in Any Other Country than India?

☐ No

☐ Yes

(If Yes, Please Fill the Details Below)

Country of Jurisdiction of Residence											Country Code				
Tax Identification Number of Equivalent (If Issued by Jurisdiction)															
Place / City of Birth						Country of Birth									
Address															
City / Town / Village						District						PIN			
State						Code			Country	India /			Country Code	I	N

DETAILS OF RELATED PERSON

(Please Refer Instruction G)

☐ Additional of Related Person		☐ Deletion of Related Person		KYC Number of Related Person (If Available)				
Related Person Type	☐ Guardian of Minor		☐ Assignee		☐ Authorized Representative			
Name								

(In Case of Additional Related Persons, Please Fill 'Annexure B1')

PROOF OF IDENTITY OF RELATED PERSON

(Please Refer Instruction H)

PAN									
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REMARKS

(If Any)

APPLICANT DECLARATION

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

I hereby consent to receiving information from Central KYC Registry through SMS / E-mail on the above registered number / e-mail address.

Date:

D	D	-	M	M	-	2	0	Y	Y
---	---	---	---	---	---	---	---	---	---

Place: Dehradun



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ATTESTATION / FOR OFFICE USE ONLY

Documents Received	☐ Self Attested Certified Copies	☐ Verified with Originals
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IN PERSON / KYC VERIFICATION CARRIED OUT BY

☐ Employee

☐ Authorised Person

Signature																
Name																
Code		Designation	Service Desk Manager					Branch								
Place	DEHRADUN					IPV Done on	D	D	-	M	M	-	2	0	Y	Y

INSTITUTION DETAILS

Name	Sukesh Jain Securities Private Ltd.		
Code	IN3605	POS Code	1200006571

Seal/Stamp

PART - B

Income Range (per annum) (Tick Whichever is Applicable)	☐ Upto 1,00,000/-	☐ 1,00,001/- to 5,00,000/-	☐ 5,00,001/- to 10,00,000/-										
	☐ 25,00,001/- to 100,00,000/-	☐ 10,00,001/- to 25,00,000/-	☐ Above 100,00,000/-										
Networth (Not Older than 1 Month)	as on <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; text-align: center;">D</td> <td style="width: 20px; text-align: center;">D</td> <td style="width: 20px; text-align: center;">-</td> <td style="width: 20px; text-align: center;">M</td> <td style="width: 20px; text-align: center;">M</td> <td style="width: 20px; text-align: center;">-</td> <td style="width: 20px; text-align: center;">2</td> <td style="width: 20px; text-align: center;">0</td> <td style="width: 20px; text-align: center;">Y</td> <td style="width: 20px; text-align: center;">Y</td> </tr> </table>			D	D	-	M	M	-	2	0	Y	Y
D	D	-	M	M	-	2	0	Y	Y				

BANK DETAILS

Bank Name		Branch												
Address														
Account Type	☐ Saving ☐ Current ☐ Other	MICR Code (9 digit)	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>											
Account No.		IFSC Code (11 digit)	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>											

EQUITY DEMAT DETAILS

No.	Def.	DP Name	DP ID / Client ID																		
			<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>																		
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COMMUNICATION MODE

Any changes in e-mail ID need to be communicated to the broker through a physical letter

Contract Note / Margin Statement / Ledgers / Bills Delivery Mode	☐ Physical ☐ Electronic
If Electronic mode, provide E-mail ID	As mentioned in KYC Basic Details Form

Number of years of Investment / Trading experience			
Are you	A Politically Exposed Person (PEP) ?	☐ Yes ☐ No	
	Related to Politically Exposed Person (PEP) ?	☐ Yes ☐ No	
Avail Internet Trading / Wireless Technology Facility		☐ Yes ☐ No	
Purpose and intended nature of the business relationship (as per PMLA requirement)		☐ Investment ☐ Trading ☐ Hedging ☐ Speculation ☐ Others _____	

(For ECN in Commodity Segment, please refer Voluntary Section)

UNIQUE MOBILE NUMBER & E-MAIL ID

Pursuant to SEBI circular bearing Ref.: CIR/MIRSD/15/2011 dated August 2, 2011, please note that the mobile number and e-mail ID mentioned by me in the KYC form belongs to my family member, details of which are as follows:												
	Relation of Family Member	PAN of Family Member										
Mobile Number:	Self / Spouse / Son / Daughter / Father / Mother											
E-mail ID:	Self / Spouse / Son / Daughter / Father / Mother											
However I have no objection whatsoever in you sending all the necessary information, intimations etc. related to my demat / trading account to this mobile number.												

NOMINATION DETAILS*(If yes, please fill the nomination form)*

Nomination Required	☐ Yes ☐ No	If yes fill annexure 1A, If no fill annexure 1B
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INTRODUCER / SUB BROKER DETAILS

Signature																		
Status / Code	☐ Channel Partner ☐ Employee ☐ Trading ☐ DP (12080800)																	
Name	FIRST MIDDLE LAST																	
Address																		
City						State						PIN						
Country	India	Mobile No.											E-Mail ID					

OTHER TRADING MEMBER / SUB BROKER DETAILS*(if registered with multiple members, provide details of all)*

Name of Stock Broker / Sub - Broker														
Name of Exchange											Client Code			
Details of Disputes / dues pending from / to such Stock Broker / Sub-Broker:														

PAST ACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / RBI / IRDA / Stock Exchange / any other authority against the client in charge of dealing in Equities / F&O / Currency Derivatives / Commodity Derivatives for violation of laws / other economic offences during the last 3 years:

ANY OTHER INFORMATION

CHOICE OF TRADING PLATFORM

(Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off.)

Segment	Signature of Client
Equity / MF (BSE / NSE)	 3(a) / 31
Equity Derivatives (BSE / NSE)	 - - 3(b) / 31

If, in future, the client wants to trade on any new segment / exchange, separate authorization / letter shall be required.

DECLARATION

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

I confirm having read / been explained and understood the contents of the document on 'Policy and Procedures' of the stock broker and the 'Tariff Sheet'.

I further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website (www.sukeshjain.com).

Date:	D	D	-	M	M	-	2	0	Y	Y
Place:	Dehradun									



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NOTING FOR THE CLIENTS

Pursuant to SEBI Circular # SEBI/MRD/SE/Cir-42/2003 dated 10th November 2003, **Sukesh Jain Securities Private Limited** informs all its client that they shall be doing proprietary trading in addition to clientelebusiness.

The information provided by the client through this form shall be the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of the clients.

DIS OPTION (Please select any one)

- ☐ **Option 1:** I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account through I / We have issued a Power of Attorney (POA) / Demat Debit and Pledge Instruction (DDPI)/registered for eDIS in favour of / with Sukesh **Jain Securities Private Limited** (Clearing Member) for executing delivery instruction for settling stock exchange trades (settlement related transactions) effected through such Power of Attorney holder - Clearing Member for executing delivery instructions through eDIS.



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(Signature of First / Sole Holder)



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(Signature of Second Holder)



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(Signature of Third Holder)

- ☐ **Option 2:** I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA / DDPI/ registered for eDIS in favour of **Sukesh Jain Securities Private Limited** (Clearing Member) for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Power of Attorney Holder - Clearing Member or for executing delivery instructions through eDIS. However, the Deliver Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.



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(Signature of First / Sole Holder)



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(Signature of Second Holder)



1 / 16

(Signature of Third Holder)

TARIFF SHEET (TRADING)

Brokerage Plan

Segment	Intra Day				Delivery / Positional	
	1st Side %	Min	2nd Side %	Min	Slab %	Min
Equity Cash						
Equity Derivatives (Futures)						
Equity Derivatives (Options)						

Disclaimer: Minimum Contract Charges (amount not exceeding 20/-) (inclusive of brokerage only) per contract shall be levied

OTHER CHARGES

- The above charges are exclusive of statutory levies like GST, Stamp Duty, Securities Transaction Tax, Exchange Transaction Charges, SEBI Turnover Fees & Clearing Charges which shall be charged additionally.
- Demat Charges per scrip shall be levied for transfer of securities from / to Broker's Beneficiary / Margin Account.
- Clients who opt to receive physical contract notes will be charged Rs.20 per contract note plus courier charges
- If you have opted for electronic mode of communication, any type of physical or hand copies of ledger, holding statements etc. (amount not exceeding 5/- per page) in addition to courier charged shall be charged additionally.
- All bills (segment wise) shall be rounded off to the nearest rupee.
- Brokerage is also charged on expired, exercised, and assigned Options contracts

Charges for other value added services will be applicable at the time of availing such services, upon your consent.
Details explanation of all charges is available online at: <http://sukeshjain.com/charge-list>

I hereby agree the above mentioned charges that shall be levied on the trades executed in my account.



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We undertake that we have made the client aware of 'Policy and Procedures', 'Tariff Sheet' and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document(s), 'Risk Disclosure Documents' and 'Guidance Note'. We have given/sent him a copy of all the KYC documents. We undertake that any change in the 'Policy and Procedures' and / or 'Tariff Sheet' and / or all the non-mandatory documents would be duly intimated to the clients. We also undertake that any change in the 'Rights and Obligations' and 'Risk Disclosure Documents' would be made available on our website (www.sukeshjain.com) for the information of the clients.

Date:

D	D		M	M		2	0	Y	Y
---	---	--	---	---	--	---	---	---	---



For **Sukesh Jain Securities
Private Limited**

Place:

Dehradun

(Authorized Signatory)

GST DETAILS

GSTIN															
-------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

INVESTOR'S GRIEVANCE CONTACT DETAILS

Name	Designation	Contact No.	E-mail ID
Mr. Sanjeev Gupta	Compliance Officer	+91 – 9997878541	compliance@sukeshjain.com

For any grievance / dispute, please contact us at the registered / corporate office address of the company or e-mail on customercare@sukeshjain.com or call on **91-9997878541**

In case not satisfied with the response, please contact the concerned stock exchange as detailed below.

Authority	Tel	E-mail ID
BSE	+91-22-22728097	is@bseindia.com
NSE	+91-22-26598190	ignse@nse.co.in
CDSL	+91-22-22723333	complaints@cdslindia.com

Internet & wireless technology based trading facility provided by stock broker to the 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 datacard, 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 website 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 is 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 whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a 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 Stockbroker 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 nonexecution of his orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges.

Declaration

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

Client Name _____

Place Dehradun

Date :

D	D	M	M	2	0	Y	Y
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Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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



Demat Section

TYPE OF ACCOUNT

(Please tick whichever is applicable)

Status	Sub-Status
Individual	☐ Individual Resident ☐ Individual Promoter ☐ Individual Director
	☐ Individual Director's Relative ☐ Individual Margin Trading A/c (MANTRA)

I / We instruct the DP to receive each & every credit in my / our account (Automatic Credit)	☐ Yes ☐ No
Do you wish to receive dividend / interest directly into your bank account given above through ECS	☐ Yes ☐ No
Account Statement Requirement	☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly ☐ As per SEBI Regulations
Transaction-cum-Holding Statement / Ledgers / Bills may be mailed to Sole / First Holder's E-mail ID stated in the Account Opening Form	☐ Yes ☐ No

(If not marked, the default option would be 'No')

I / We would like to instruct the DP to accept all the re pledge instructions in my / our account without any other further instruction from my / our end.	☐ Yes ☐ No
I / We would like to share the E-mail ID with the RTA	☐ Yes ☐ No

(If not marked, the default option would be in Physical)

I / We would like to receive the Annual Report	☐ Electronic ☐ Physical
	☐ Both Physical & Electronic

SMS ALERT FACILITY

(Refer to Terms & Conditions - Annexure 2.4)

I / We wish to avail the SMS alert facility (Mandatory, if you are giving Power of Attorney (POA))	☐ Yes ☐ No
Mobile	As mentioned in KYC Basic Details Form

TRANSACTIONS USING SECURED TEXTING FACILITY (TRUST)

(Refer to Terms & Conditions - Annexure 2.6)

I / We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I / We have read and understood the Terms and Conditions prescribed by CDSL for the same	☐ Yes ☐ No
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If Yes, please register the following Clearing Member ID's under my / our below mentioned BO ID registered for TRUST		
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

Easi Facility (To register for easi, please visit CDSL website www.cdslindia.com or contact your DP for details)	☐ Yes ☐ No
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NOMINATION DETAILS

(If yes, please fill the multiple nomination form)

Multiple Nomination facility required	☐ Yes ☐ No
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I REQUEST TO ADD FOLLOWING UNIQUE CLIENT CODE (UCC)

Unique Client Code (UCC)	Exchange ID	Segment ID	CM ID	TM ID



9 / 31

(Signature of First / Sole Holder)



2 / 16

(Signature of Second Holder)



2 / 16

(Signature of Third Holder)

DP TARIFF SHEET

Services		Scheme Name	
		☐ Privilege A/c Annual	☐ IPO
			☐ BSDA
Annual Maintenance Charges		200/- for first Quarter remaining three Quarter FREE	-
Receipts (Market & Off Market)		Nil	
Delivery (Debit) per transaction	To Market/Early Pay-In	20/- per instruction or .015% transaction value subject to maximum of Rs.100/-	12/-per instruction
	To Other Pool & Off Market	0.02% or Rs. 20/- whichever is higher	
Pledge Creation, Closure & Invocation		25/- per request	
Dematerialization		5/- per certificate plus courier charges of Rs.40/- for every 25 certificate and part thereof	
Dematerialization		A fee of Rs.50/- for the first hundred and after first hundred Rs.20/-for every hundred securities or part thereof a flat fee Rs.20/- per certificate whichever is higher	
Margin Pledge Creation & Unpledged Request		30/- per pledge request	
Pledge Creation & Unpledged for MTF		30/- per pledge request	
Mutual Funds		Rs.50/- per instruction	
Instruction Booklet		Rs.2/- per leaf plus courier charges	

- The above charges are exclusive of GST and other levies levied by Government bodies / statutory authorities from time to time.
- The above charges are based on existing CDSL charges and are subject to change at the sole discretion of Sukesh Jain Securities Private Limited with intimation to client of not less than 30 days.
- Value of the transaction will be in accordance with the rates provided by CDSL.
- All charges (except AMC) will be payable monthly. Charges quoted above are for the services listed. Any service not quoted above will be charges separately.
- All documents like holding, transaction, ledger statements etc. shall be electronically mailed to the e-mail ID of the client. Any copy in physical form shall be charged extra per page in addition to the postal charges.
- All instruction for the transfer must be received at Corporate Office (Dehradun) at least 24 hours before the execution date.
- Stamp charges payable upfront Rs.100
- Modification in client detail Rs.40/ per instance
- AMC will be charged in advance at the time of opening the account
- Maintenance charges taken for account, opened under any Life time maintenance scheme is non-refundable
- Rejection charges Rs.20/- per rejection plus courier charges
- In case of non-payment of bill /dues within 30 days of due date , interest shall be charged @2.0 % per month on the outstanding dues.
- Rs.100 /- will be charged to client to case of New Delivery instruction Booklet is requested without requisition slip.

"As per SEBI Circular No. CIR/MRD/DP22/2012 dated 27th August 2012 , all clients who are willing to hold only one demat account at first holder and whose DP holding valuation will be maintained below Rs.2 Lac, is eligible to opt for BSDA (Basic Services Demat Account)subject to terms and conditions mentioned by SEBI.To opt BSDA scheme please sign a separate scheme sheet which can be obtained from our office."

DECLARATION

I / We have received and read the Rights and Obligations documents 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 / our account liable for termination and suitable action.



10 / 31

(Signature of First / Sole Holder)



3 / 16

(Signature of Second Holder)



3 / 16

(Signature of Third Holder)

Agreement Section

DDPI

To,
Sukesh Jain Securities Pvt. Ltd
37, Pipal Mandi, Dehradun-248001

Date: _____

I/We have been /shall be dealing through you as my/our broker on Stock exchanges(s) such as BSE and as my /our Depository Participant (DP) with respect to my /our Trading Account opened /to be opened under captioned Unique Client code (UCC) and Demat /beneficial owner (BO) account opened /to be opened & mapped with my/our said Trading account. I/We authorize you to follow these instructions 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 & or DP. I/We direct and authorize you to carry out dealings on my/our behalf as per instructions given below.

For my/our convenience & in order to facilitate the proper execution of all transactions by me/us in pursuant to agreement(s) Entered /to be entered with M/s Sukesh Jain Securities (P) Ltd ("SJSPL"). I/We hereby agree & authorize SJSPL to operate my/our Demat /BO account (s) Opened /to be opened and mapped with MY/OUR AFORESAID Trading account to transfer/pledge/re-pledge/de-pledge securities from my/our BO account(s) only SJSPL BO account and /or Exchange(s) related pool and Margin Account of SJSPL as specified

Please further note that while I /We am/are entitled to the revoke this DDPI authorization at any time, by sending signed physical letter of revocation, through Regd/Speed post at your registered address. I/We agree that till the time my/our revocation request will be processed and updated in your records, SJSPL will continue to be authorized to transfer/pledge/re pledge/de-pledge securities under this DDPI authorization against my/our obligations, if any, in my/our captioned trading /demat account.

I/We shall be liable for all the loses, damages and actions which my arises 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 what so ever, or for any consequential, incidental, special or exemplary damages, caused by transfer/pledge/re-pledge/de- pledge of securities under this DDPI authorization FOR THE PURPOSES opted by me.



11/31

(Signature of First / Sole Holder)



4/ 16

(Signature of Second Holder)



4/16

(Signature of Third Holder)

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

(Voluntary)

Client Name	
Client UCC code	
Demat ID/ BO ID	12080800
Date	
Place	Dehradun

Exchange	Depository	CM BP ID	DP ID	Account No.	Account Type
BSE	CDSL			1208080000011852	CM Pool & Principal
BSE	CDSL			1100001000023399	BSE Early pay in a/c
BSE	NSDL	IN665711	IN300966	10709507	Pool Account

Depository	TM/CM-Client Securities Margin Pledge Account	DP ID	Account No.
All Segment			
CDSL	TM/CM-Client Securities Margin Pledge Account	12080800	1208080000015350

Purpose 1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	 Signature of 1st holder 12 / 31
		 Signature of 2nd holder 5 / 16
		 Signature of 3rd holder 5 / 16
Purpose 2	Pledging / re-pledging of securities in favour of M/s Sukesh Jain Securities (P) Ltd as a trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	 Signature of 1st holder 13/ 31
		 Signature of 2nd holder 6/ 16
		 Signature of 3rd holder 6/ 16
Purpose 3	Mutual fund transactions being executed on stock exchange order entry platforms.	 Signature of 1st holder 14/ 31
		 Signature of 2nd holder 6 / 16
		 Signature of 3rd holder 6/ 16



15/31

Signature of 1st Holder



7/ 16

Signature of 2nd Holder



7/ 16

Signature of 3rd Holder

Purpose 4	Tendering shares in open offers through Stock Exchange platforms	 Signature of 1 st holder 16 / 31
		 Signature of 2 nd holder 8 / 16
		 Signature of 3 rd holder 8 / 16



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Signature of 1st Holder



9/ 16

Signature of 2nd Holder



9/ 16

Signature of 3rdHolder

VARIOUS AUTHORIZATIONS

(Voluntary)

To,
Sukesh Jain Securities Private Limited
37, Pipal Mandi, Dehradun - 248001.

Date	D	D	-	M	M	-	2	0	Y	Y
------	---	---	---	---	---	---	---	---	---	---

Client ID	12080800
UCC	

Dear Sir/Madam,

RUNNING ACCOUNT AUTHORIZATION

I am having a trading account with you with client code as mentioned above. In order to facilitate smoother and faster operations, I hereby agree

- a) and authorize you to maintain a running account across all the segment of all the Exchanges instead of settlement to settlement clearance of dues to me.
- b) and instruct you that no cheques be issued to me towards any credit balance in my account, unless specifically demanded by me and only to the extent of amount demanded by me.
- c) and authorize you to withhold delivery due to me against any debit balance or pending sale in my account arising on account of margin or future obligations.
- d) for intra-exchange and/or inter-settlement transfer of funds and/or securities towards pay-in or pay-out of securities in the future or past settlements.
- e) and authorize you to transfer amount from '**Margin Ledger**' to '**MTM Ledger**' (routine billing and fund transaction ledger) and vice versa to fulfill margin and normal billing liability towards you in Cash Equity Derivatives,
- f) to maintain such quantity of securities and such amount of cash credit balance as required by the applicable statutes, rules, regulations, procedures or as deemed necessary or advisable by you. If you consider it necessary for your own protection, you may demand to deposit additional cash or securities to your account prior to any applicable settlement date in order to assure due performance of my open contractual commitments. If I do not provide such additional cash or securities, you shall have the right to sell any or all securities, but any or all relevant securities which may be short in my account, cancel any or all open orders and/or close any or all of my outstanding contracts.
- g) In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations, calculated in the manner specified by the exchanges
- h) I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office
- i) I/We confirm you that I can revoke the above mentioned authority at any time.
- j) This running account authorization would continue until it is revoked by me.



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SETTLEMENT OF FUNDS

However with reference to SEBI circular bearing Ref: MIRSD/SE/Cir-19/2009 dated Dec 03, 2009 & various circulars issued by respective Exchanges thereafter regarding quarterly/monthly settlement, I request you to kindly note my preference for actual settlement of funds as follows.

Settlement of Funds



Monthly



Quarterly



19 / 31

VARIOUS AUTHORIZATIONS

(Voluntary)

Kindly strike off any of the clauses, You do not wish to sign.

TELEPHONIC INSTRUCTIONS/VOICE LOGGER

As regards to placement of orders, although you have insisted on written instruction for placing / modifying / cancelling orders, considering the practical difficulties faced in complying the same, I hereby agree to telephonic instruction for order placing or order modification as a written request and give all the confirmations on telephone unless instructed otherwise in writing. Even if I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call centre/branch specified for the said purpose by Suresh Jain Securities Private Limited in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify Suresh Jain Securities Private Limited and its employees against all trader related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally.

Further I am aware that for all such telephonic instructions between us, you have installed or may install in future voice logging systems on the telephonic lines and you and you may record our telephonic instruction/conversations & I have or shall have no objection whatsoever in you using the said recordings to ascertain any claims or settle the disputes arising between us in any arbitration or legal proceedings and all such recordings shall be bound to both of us.

ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Suresh Jain Securities Private Limited shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Suresh Jain Securities Private Limited responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Suresh Jain Securities Private Limited.

NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Suresh Jain Securities Private Limited has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

NOT TO ACT AS UNREGISTERED SUB-BROKER

I undertake not to act as unregistered sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through Suresh Jain Securities Private Limited to obtain a sub-broker registration. In case Suresh Jain Securities Private Limited perceives that I am acting as an unregistered sub-broker, Suresh Jain Securities Private Limited has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Suresh Jain Securities Private Limited without the requirement of any notice from Suresh Jain Securities Private Limited. Further, Suresh Jain Securities Private Limited has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Suresh Jain Securities Private Limited from any loss/damage/claim arising out of such activity.

NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform Suresh Jain Securities Private Limited in writing, of any regulatory action taken by any Exchange or regulatory/statutory authority on me in future. In case I fail to inform the same and Suresh Jain Securities Private Limited on its own comes to know of such action, Suresh Jain Securities Private Limited has the right to suspend/close my trading account and refuse to deal with me. Also, Suresh Jain Securities Private Limited can at its sole discretion, close all the open positions and liquidate collateral to the extent of trader related debt balances, without any notice to me.

PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Suresh Jain Securities Private Limited officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

- I do not have any links with any known unlawful persons/institutions
- I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.



INDEMNIFICATION

I hereby indemnify and hold Sukesh Jain Securities Private Limited, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Sukesh Jain Securities Private Limited directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently

INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold Sukesh Jain Securities Private Limited harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any

BSE StAR MUTUAL FUND FACILITY

I am interested in availing the StAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the StAR platform of the Exchange. For the purpose of availing the StAR Mutual Fund facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of StAR and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I 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 shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

DELAYED PAYMENT CHARGES

I understand that in case my account is in debit balance and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.05% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures page on Sukesh Jain Securities Private Limited's website.

SMS FACILITY

I am aware that you, at your sole discretion, may send a SMS on my registered mobile (as mentioned in the KYC form) related to daily trade confirmations, ledger balances, margin calls or any other transactional/informative message. On receipt of such SMS, it shall be my responsibility to intimate you in writing of any discrepancies in the same.

I am also aware that you may charge a fee (amount not exceeding ` 25/- per month) for availing this facility & I authorize you to debit the same to my ledger from time to time.

Further if there is any change in my mobile number, it shall be my responsibility to intimate the said changes to you in writing & you shall make the necessary amendments within 48 hours of receipt of such intimation.

NRI DECLARATION

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to Sukesh Jain Securities Private Limited every time the investment is made.

THIRD-PARTY PAYMENTS

Sukesh Jain Securities Private Limited shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by Sukesh Jain Securities Private Limited. Sukesh Jain Securities Private Limited shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by Sukesh Jain Securities Private Limited and the credit for the same has been given in the client's ledger, Sukesh Jain Securities Private Limited shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, Sukesh Jain Securities Private Limited reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. Sukesh Jain Securities Private Limited, its Directors and employees shall not be responsible for any consequential damages or losses.

NO DEALINGS IN CASH

Sukesh Jain Securities Private Limited as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub- Broker/ Remisier/Employee/Authorised Person of Sukesh Jain Securities Private Limited.



DISCLOSURE OF PROPRIETARY TRADING BY SUKESH JAIN SECURITIES PRIVATE LTD.

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, Suresh Jain Securities Private Limited discloses to its clients about its policies on proprietary trades. Suresh Jain Securities Private Limited does proprietary trades in the cash and derivatives segment at NSE & BSE

DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of Suresh Jain Securities Private Limited, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges. In case the client fails to transfer the shares on time to Suresh Jain Securities Private Limited, Suresh Jain Securities Private Limited shall not be responsible for any loss/damages arising out of such delayed transfers.

SQUARING OFF OF POSITIONS & SALE / LIQUIDATION OF COLLATERAL MARGINS

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then Suresh Jain Securities Private Limited has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Suresh Jain Securities Private Limited, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Suresh Jain Securities Private Limited.

After such square off of open positions by Suresh Jain Securities Private Limited, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Suresh Jain Securities Private Limited shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. Suresh Jain Securities Private Limited, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling

LETTER OF AUTHORITY

I hereby appoint the following persons as mentioned below as my authorized representative to operate my above mentioned trading account on my behalf and *Suresh Jain Securities Private Limited* is authorized to follow his / her instructions regarding my above mentioned trading account for the following purpose

To place orders on my behalf and to receive confirmations on my behalf for order placed by him / her in the said account.

To receive / collect contracts, bills and any other relevant documents on my behalf in the said account and take / handover all the deliveries of shares purchased / sold by or on behalf of me.

Sr. No.	Name of Authorized Person	Specimen Signature of Authorized Person
1		
2		

DEMAT CHARGES AUTHORIZATION

I am having a trading account with you as mentioned above for dealing in shares & securities. I hereby authorize you to kindly debit my aforesaid trading account for various charges due to you pursuant to the services rendered against the following demat account(s).

No.	Demat Account No.							
1	12080800							

No.	Demat Account No.							
2	12080800							

INTERNET / MOBILE BASE APPLICATIONS

I would like to avail the various internet/mobile based trading & back office softwares offered by you.

I am fully aware that you may charge a fee if avail any premium services & I hereby authorize you to kindly debit these charges to my ledger account from time to time.



VARIOUS AUTHORIZATIONS

(Voluntary)

Kindly strike off any of the clauses, You do not wish to sign.

REVOCATION OF AUTHORIZATIONS

I / We am / are fully aware that any of the aforesaid authorizations shall continue till it is revoked (without notice period) in writing by me/ us & the said revocation shall be effective from the date on which the revocation notice is received by you at your corporate office.



23 / 31

OPTING-OUT OF BSDA FACILITIES

This is to inform you that I / We am / are aware about SEBI circular bearing Ref: CIR/MRD/DP/22/2012 dated 27th August 2012, where in a small investor can avail the BSDA facilities as mentioned therein.

However I / We do not intend to avail any such facility & although my / our demat account may fall under BSDA category now or in future, I/we do not wish to avail the said facilities.

Kindly consider this as my/our one time standing instruction for not availing the BSDA facility & in case I / We wish to avail the said facility in future, I / We shall intimate the same to you in writing.



24 / 31

(Signature of First / Sole Holder)



10 / 16

(Signature of Second Holder)



10 / 16

(Signature of Third Holder)

CLIENT DEFAULTER DECLARATION

I _____ having PAN _____ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.



25 / 31

ACKNOWLEDGEMENT OF KYC DOCUMENTS

To,
Sukesh Jain Securities Private Limited
37, Pipal Mandi, Dehradun - 248001

Dear Sir / Madam,

Sub: Acknowledgment of KYC Documents

Sub : Acknowledgement of KYC Documents

Ref: UCC _____ Client ID : 12080800

I/We hereby acknowledge receipt of the following documents

- ☐ Duly Executed copy of KYC
- ☐ Tariff Sheet
- ☐ Rights & Obligations
- ☐ Risk Disclosure Documents (RDD)
- ☐ Guidance Note (Do's & Don'ts)
- ☐ Company's Internal Policies & Procedures
- ☐ Photostat Copy of DP Account Opening Form
- ☐ Photostat Copy of Multiple Nomination Form
- ☐ Rights & Obligations of DP & BO
- ☐ SMART - Terms & Conditions (Annexure 2.4)
- ☐ TRUST - Terms & Conditions (Annexure 2.6)
- ☐ Photostat Copy of POA/DDPI Agreement
- ☐ Photostat Copy of the Voluntary Declaration
 - ☐ Running Account Authorization/Settlement of Funds & Securities
 - ☐ Telephonic Instruction /Voice Logger
 - ☐ Errors and Omissions, No Market Manipulation, Not to act as unregistered Sub-Broker, Not debarred by any regulator, PMLA Declaration, Indemnification, BSE Star Mutual Fund Facility
 - ☐ Delayed Payment Charges
 - ☐ SMS Facility
 - ☐ NRI Declaration, Third Party Payments, No dealing in Cash, Disclosure of Proprietary trading by Sukesh Jain Securities Private Ltd., Deliveries, Squaring of positions & sale/liquidation of collateral margins
 - ☐ Letter of Authority
 - ☐ Demat Charges Authorization
 - ☐ Client Defaulter Declaration
 - ☐ Opting-Out of BSDA facilities
 - ☐ Investor Charter Document (DP & SB)

Date	D	D	-	M	M	-	2	0	Y	Y
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Client ID	12080800
UCC	



26 / 31

(Signature of First / Sole Holder)



11 / 16

(Signature of Second Holder)



11 / 16

(Signature of Third Holder)

Nomination Form (Annexure 1A)

To,
Sukesh Jain Securities Private Ltd.
37, Pipal Mandi,
Dehradun-248001

Dear Sir/Madam,

TM / DP										FORM FOR NOMINATION																		
Name and Address										(To be filled in by individual applying singly or jointly)																		
Date	D	D	M	M	Y	Y	Y	Y	Y	UCC/ DP ID	I	N						Client ID										
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 / o ur account in the event of my / our death.																												
Nomination can be made upto three nominees in the account.										Details of 1st Nominee							Details of 2nd Nominee					Details of 3rd Nominee						
1		Name of the nominee(s) (Mr./Ms.)																										
2		Share of each Nominee		Equally [If not equally, please specify percentage]						%							%					%						
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																												
3		Relationship With the Applicant (If Any)																										
4		Address of Nominee(s)																										
		City / Place: State & Country:																										
				PIN Code																								
5		Mobile / Telephone No. of nominee(s)																										
6		Email ID of nominee(s)																										
7		Nominee Identification details – [Please tick any one of following and provide details of same] Photograph & Signature Aadhaar 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)}																										
9		Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																										
10		Address of Guardian(s)																										



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Signature of First / Sole Holder



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(Signature of Second Holder)



12 / 16

(Signature of Third Holder)

	City / Place: State & Country:						
		PIN Code					
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] account no. Proof of Identity						
Name(s) of holder(s)						Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)						 28 / 31	
Second Holder (Mr./Ms.)						 13 / 16	
Third Holder (Mr./Ms.)						 13 / 16	

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

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)

—

Declaration Form for opting out of nomination(Annexure 1B)

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To	Date	D	D	M	M	2	0	Y	Y
Sukesh Jain Securities Private Ltd. 37,Pipal Mandi, Dehradun-248001									
UCC/Trading Code									
DP ID	1	2	0	8	0	8	0	0	
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
29 /31 14/ 16 14/ 16 (Signature of First / Sole Holder) (Signature of Second Holder) (Signature of Third Holder)									

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

Date :

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Annexure 2

To,
Sukesh Jain Securities Private Ltd.
55, Guru Road , Dehradun-248001

Dear Sir,

Sub : Requesting for bill/transaction/holding statement through email.

I/We request you to send me/us bill, transaction and holding statement of my CDSL Demat account no. 12080800

at following email address: _____

I/We fully agree and are aware of following Terms and Conditions mentioned below.

(a) that I/We will not receive the bill, transaction and holding statements in paper form.

(b) that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.

(c) that I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.

(d) that I/We in case bill, transaction and holding statements are sent by email, I/We will immediately inform the Sukesh Jain Securities Private Ltd. about change in email address, if any.

In case, the Sukesh Jain Securities Private Ltd. is not able to provide bill/transaction statement to its Clients by email or on website due to any reason (including bounced emails), Sukesh Jain Securities Private Ltd. will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.

I/We hereby request you to send the statements:

Daily ☐ Fortnightly ☐ Weekly ☐ Monthly ☐

Yours faithfully,



30 / 31



15 / 16



15 / 16

I, the sole holder, or we, the Joint Holders confirm that we would like to designate the First Demat Account Holder (who is a Resident Indian Individual) of our account to receive the CDSL TPIN (or any such other similar PIN as required by any or all Depositories to transact as per the e DIS facility offered by such Depository) on his/her mobile/email address for execution/permission of all such transactions & ancillary facilities to be availed via such mechanism from any or all Depositories.

Declaration

I/We have received and read the Rights and Obligations documents and terms & conditions and agree to abide by and be bound by the same and the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true to the best of my/our knowledge as on the date of making this application.

I/We agree and undertake to intimate the DP of 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.



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16 / 16



16 / 16