

Application No.	<b>AA</b>
UCC	
DP Client No.	
Reference No.	
Partner	
Partner Center	
First Holder Name	
Second Holder Name	
Third Holder Name	



**TRADING & DEMAT ACCOUNT OPENING  
FORM AND DEMAT DEBIT AND PLEDGE INSTRUCTION**

**INDIVIDUAL**



## INDEX

Sr. No.	Particulars	Significance	Page No.
<b>ACCOUNT OPENING FORM</b>			
1	Additional Details for Demat Account	Details containing additional information about the constituent relevant to the Demat Account	1
2	Additional Details for Trading Account	Details containing additional information about the constituent relevant to the Trading Account	4
3	Common details for Trading and Demat Account	Common details for Trading and Demat Account such as Bank and other Details, etc.	7
4	Nomination Form	To appoint a nominee for Trading and Demat Account	9
5	Mandatory & Non-Mandatory Document Booklet & Declaration	Declaration for opening Trading and Demat Account	17
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	20
7	Annexure A - BSE STAR MF	Letter to be provided by the investor to the MFI and terms & conditions for the investor/client for using BSE STAR MF platform.	22
8	Annexure B - Mutual Fund Service System facility (MFSS)	Letter to be provided by the investor to the participant and terms & conditions for investor/client for using MFSS facility.	24
9	Voluntary Declaration - Authorization for Maintenance of Running Account	Consent and authorization by client for opening and maintaining the running account.	26
10	Issue of DIS Booklet	Option Form for Issue of DIS Booklet	28
11	SMS Alert & TRUST Facility (CDSL)	Registration form for receiving SMS Alert & TRUST Facility	30
12	E-statement & SMS Alert Facility (NSDL)	Registration form for receiving E-Statement & SMS Alert Facility	32
13	Schedule of Charges	Providing information to the client of Demat Account charges structure.	34
14	FATCA-CRS Declaration	Declaration	36
15	Demat Debit And Pledge Instruction (DDPI)	Demat Debit And Pledge Instruction In Favour of NJ India Invest Private Limited	D1

### MANDATORY DOCUMENTS IN BOOKLET AS PRESCRIBED BY SEBI & EXCHANGES

16	Instructions for Demat Account	General idea regarding Demat Account opening and CDSL/NSDL dos & don'ts	1
17	Instructions for Trading Account	General idea regarding Trading Account opening	3
18	Details & Checklist for Trading and Demat Account	To provide general idea to the client and identify the status and proof of identity and address of the client	4
19	Most Important Terms and Conditions (MITC)	Document describing the critical aspects of the broker-client relationship	7
20	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges.	8
21	Internet & Wireless Technology based Trading facility	Internet & Wireless Technology based Trading facility provided by Stock Brokers to Clients	12



## INDEX

22	Risk Disclosure Documents (RDD)	Document prescribed by SEBI and Stock exchanges detailing risks associated with dealing in the securities market.	13
23	Proprietary Trade Declaration	Document prescribed by SEBI regarding of Disclosure of proprietary trading by broker to client	17
24	Guidance Note	Do's and Don'ts for trading on Stock exchanges, for the education of the investors	18
25	Policies and Procedures	Document describing significant policies and procedures of the Stock Broker	20
26	Anti-Money Laundering Awareness	Information on Anti Money Laundering for educating Clients	22
27	SMS Alert Facility (CDSL)	Terms and Conditions for receiving SMS Alert from CDSL	29
28	E-statement & SMS Alert Facility (NSDL)	Terms and Conditions for receiving SMS Alert from NSDL	32
29	Rights and Obligations of Beneficial Owner and Depository Participant	Contains rights and obligations of the Client and Depository Participant as prescribed by SEBI and Depositories	37
30 (a)	Investor Charter-Stock Broker	Guidance notes for Clients prescribed by SEBI and Stock Exchanges	40
30 (b)	Investor Charter – NSDL	Guidance notes for Clients prescribed by SEBI and Depositories	44
30 (c)	Investor Charter – CDSL	Guidance notes for Clients prescribed by SEBI and Depositories	47

### NON-MANDATORY DOCUMENTS IN BOOKLET

31	Voluntary Clauses	Contains enabling clauses to provide services customized to suit Client's needs and improve service delivery	24
32	Transaction using Secured Texting (TRUST) Facility	Terms and Conditions for availing Transaction using Secured Texting (TRUST) service offered by CDSL	35

## DETAILS OF THE DEPOSITORY PARTICIPANT AND STOCK BROKER

### NJ INDIA INVEST PRIVATE LIMITED

Registered & Correspondence Office Address : Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat Phone: 0261 402 5500 Fax: 0261 402 5880

SEBI Reg No - BSE, NSE & ICEX: INZ000213137, SEBI Reg No - CDSL & NSDL: IN-DP-14-2015

Email id: dpservices@njgroup.in Website: www.njgroup.in

Compliance officer name : Mrs. Varsha P. Doctor

Phone no. : 0261-6155000

E-mail id. : complianceofficer@njgroup.in

CEO name : Mr. Misbah Y. Baxamusa

Phone no. : 0261- 4025901

E-mail id. : ceo@njgroup.in

For any grievance/dispute please contact NJ IndiaInvest Private Limited at Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat or email id - dpservices@njgroup.in and Phone no.: 0261-4025500.

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

CDSL at complaints@cdslindia.com and Phone no. 022-22723333

NSDL at relations@nsdl.com and Phone no. 022-24994200

BSE at is@bseindia.com and Phone no. : 022- 22728097

NSE at ignse@nse.co.in and Phone no.: 022-26598190



# ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT

Application No.

**AA**

## NJ INDIA INVEST PRIVATE LIMITED

Registered & Correspondence Office Address : Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh  
Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat Phone: 0261 402 5500 Fax: 0261 402 5880

This information is the sole property of the trading member/DP/brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients.

(To be filled by DP)

Date:  D D M M Y Y Y Y 

DP Internal Reference No. \_\_\_\_\_

DP ID \_\_\_\_\_ Client ID \_\_\_\_\_  CDSL  NSDL

(To be filled by the applicant in BLOCK LETTERS &amp; with BLACK BALL POINT PEN in English )

I/We request you to open a Demat Account in my/our name as per the following details:

### Type of Account (Please tick whichever is applicable)

Status	Sub-Status	
Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director
	<input type="checkbox"/> Individual Director's Relative	<input type="checkbox"/> Individual AOP
	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Others(specify) _____
NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI - Non Repatriable
	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable Promoter
	<input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> Others (specify) _____
Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Qualified Foreign Investor
	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify) _____

### Holders Details

Sole / First Holder's Name \_\_\_\_\_

PAN \_\_\_\_\_ UID \_\_\_\_\_

Second Holder's Name \_\_\_\_\_

PAN \_\_\_\_\_ UID \_\_\_\_\_

Third Holder's Name \_\_\_\_\_

PAN \_\_\_\_\_ UID \_\_\_\_\_

### In case of NRIs/ Foreign Nationals

RBI Approval Reference Number \_\_\_\_\_

RBI Approval date \_\_\_\_\_

### Details of Guardian (in case the account holder is minor)

Name of the Guardian: \_\_\_\_\_

Relationship with the applicant: \_\_\_\_\_ PAN: \_\_\_\_\_

Name\* \_\_\_\_\_ PAN: \_\_\_\_\_



## ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT

### Additional Details

I/We instruct the DP to receive each and every credit in my/our account [Automatic Credit] (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No			
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (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 request you to send Electronic Transaction - cum - Holding Statement at the Email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No			
I/ We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No			
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Physical & Electronic			
I/We wish to receive dividend/ interest directly into my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time ]	<input type="checkbox"/> Yes <input type="checkbox"/> No			
Account to be operated through Demat Debit and Pledge Instruction(DDPI)	<input type="checkbox"/> Yes <input type="checkbox"/> No			
SMS Alert Facility (CDSL) Mobile No. _____ <small>(Refer terms &amp; conditions in the booklet provided)</small> [(Mandatory , if you are giving Demat Debit and Pledge Instruction(DDPI) ](if DDPI is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> Yes <input type="checkbox"/> No			
SMS Alert Facility(NSDL): [Mandatory if you are giving Demat Debit and Pledge Instruction(DDPI) .				
Sr. No.	Holder	Yes	No	Mobile No.
1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>	_____
2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	_____
3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	_____
Transactions Using Secured Texting Facility (TRUST). <small>(Refer terms &amp; conditions in the booklet provided)</small>	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. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.			<input type="checkbox"/> Yes <input type="checkbox"/> No
Stock Exchange Name/ID _____				
Clearing Member Name _____				
Clearing Member ID (Optional) _____				
<b>easi</b>	If yes, please contact your DP for details [Facility through CDSL's website: <a href="http://www.cdslindia.com">www.cdslindia.com</a> wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]			<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>IdeAS</b>	If yes, please contact your DP for details [Facility through NSDL's website: <a href="https://eservices.nsdli.com/">https://eservices.nsdli.com/</a> wherein a BO can view his ISIN balances and value of their demat account online.]			<input type="checkbox"/> Yes <input type="checkbox"/> No

# ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT

## MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

Jointly  Anyone of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

First Holder

All Holder

Second Holder Email id: \_\_\_\_\_

Third Holder Email id: \_\_\_\_\_

Name: \_\_\_\_\_

x

Sole/First Holder OR Guardian (In case of Minor)

Name: \_\_\_\_\_

x

Second Holder

Name: \_\_\_\_\_

x

Third Holder

## ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

I/We request you to open a Trading Account in my/our name as per the following details:

### Depository Account Details

Beneficiary Name \_\_\_\_\_  
DP Name  N J I n d i a I n v e s t P r i v a t e L i m i t e d  
DP Address  B l o c k N o 9 0 1 & 9 0 2 6 t h F l o o r B T o w e r U d h n a  
 U d y o g n a g a r S a n g h C o m m e r c i a l C o m p l e x  
 C e n t r a l R o a d N o 1 0 U d h n a S u r a t - 3 9 4 2 1 0  
DP ID \_\_\_\_\_ Client ID \_\_\_\_\_ Depository Name \_\_\_\_\_

### Trading Preferences

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you

Exchanges	NSE, BSE		
All Segments	Mutual Fund	Cash	Debt

If you do not wish to trade in any of segments, please mention here \_\_\_\_\_

### Past Actions

Please give the details of any action taken by SEBI/Stock Exchange/ any other authority for violation of Securities Laws/ other economic offences specifically indicating any action taken during the previous 3 years.

### Dealings through Sub-brokers and other Stock Brokers

Whether dealing through the sub-broker, provide the following details:

Sub-broker's Name: \_\_\_\_\_

SEBI Registration number: \_\_\_\_\_

Registered office address: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Website: \_\_\_\_\_

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

If Yes, Stock Broker's Name: \_\_\_\_\_

Client Code: \_\_\_\_\_ Name of the Exchange: \_\_\_\_\_

Details of disputes/dues pending from/to such stock broker/sub- broker: \_\_\_\_\_





## ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

### Additional Details

I wish to receive  Physical Contract note  Electronic Contract Note (ECN) (please specify):

Specify your Email id, if applicable: \_\_\_\_\_

Whether you wish to avail the facility of  Internet trading  Wireless technology (please specify):

### Investment/ Trading Experience

No Prior Experience

Years in Equity

Years in Derivatives

Years in Other Investment Products

### Introducer's Details

#### Introducer 1 (For Mutual Fund)

Name: \_\_\_\_\_

Status:  Sub-broker  Remisier  Authorized Person  Existing Client

Others, please specify \_\_\_\_\_

Address: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Introducer's Code: \_\_\_\_\_

Introducer's PAN: \_\_\_\_\_

Introducer  
Signature

#### Introducer 2 (For Capital Market)

Name: \_\_\_\_\_

Status:  Sub-broker  Remisier  Authorized Person  Existing Client

Others, please specify \_\_\_\_\_

Address: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Introducer's Code: \_\_\_\_\_

Introducer's PAN: \_\_\_\_\_

Introducer  
Signature

### FOR OFFICE USE ONLY

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

**Member's  
Authorized  
Signatory**

Signed by: \_\_\_\_\_

Date:  D D M M Y Y Y Y

**Seal/Stamp of  
stock broker**



## ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

### Multiple Bank Accounts

To \_\_\_\_\_ UCC: \_\_\_\_\_  
NJ INDIAINVEST PRIVATE LIMITED,  
Block No.901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna,  
Surat - 394210, Gujarat.

I request you to make the following additions to my Trading account in your records.

For each bank account, investors should produce originals for verification or submit originals of the documents mentioned below.

### Bank Details

1. Name of the Bank \_\_\_\_\_  
Account No \_\_\_\_\_ IFSC Code: \_\_\_\_\_  
Bank Address \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_ Pin/Zip Code: \_\_\_\_\_  
Country: \_\_\_\_\_  
MICR Code \_\_\_\_\_ Account Type:  Savings  Current  Other \_\_\_\_\_  
Document attached (Any one):  Cancelled Cheque with name pre-printed  Bank statement  
 Pass book  Bank Letter

2. Name of the Bank \_\_\_\_\_  
Account No \_\_\_\_\_ IFSC Code: \_\_\_\_\_  
Bank Address \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_ Pin/Zip Code: \_\_\_\_\_  
Country: \_\_\_\_\_  
MICR Code \_\_\_\_\_ Account Type:  Savings  Current  Other \_\_\_\_\_  
Document attached (Any one):  Cancelled Cheque with name pre-printed  Bank statement  
 Pass book  Bank Letter

Bank Proof (Any one Proof Required from the following list (Self attested)):

- 1) Copy of cancelled cheque Leaf with name of the account holder preprinted on it
- 2) Bank passbook having name and address of the account holder and latest transaction pages being not more than 3 months old.
- 3) Bank Statement having name and address of the account holder being not more than 3 months old
- 4) Letter from the bank certifying the account number and period from which the account is in operation. The bank branch and designation and name of the bank official should be clear. Also enclosed copy of cheque.

Name: \_\_\_\_\_

x  
\_\_\_\_\_

Sole/First Holder OR Guardian (In case of Minor)



## COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

### Bank Details (For Demat purpose and will be used as default bank)

Name of the Bank \_\_\_\_\_

Branch \_\_\_\_\_ IFSC Code: \_\_\_\_\_

Bank Address \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_

Country: \_\_\_\_\_ Pin/Zip Code: \_\_\_\_\_

Account No \_\_\_\_\_

Bank Code \_\_\_\_\_ Account Type:  Savings  Current  Other \_\_\_\_\_  
(9 digit MICR Code)

1. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
2. Photocopy of the Bank Statement having name and address of the BO.
3. Photocopy of the Passbook having name and address of the BO, (or)
4. 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 and should be self-certified by the BO.)

### Other Details

<b>Gross Annual Income Details</b>	<b>Income Range per annum:</b> <input type="checkbox"/> Up to ₹1,00,000 <input type="checkbox"/> ₹1,00,000 to ₹5,00,000 <input type="checkbox"/> ₹ 5,00,000 to ₹10,00,000 <input type="checkbox"/> ₹10,00,000 to ₹ 25,00,000 <input type="checkbox"/> More than ₹25,00,000		
	<b>Net worth as on (Date)</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> ₹ _____ [Net worth should not be older than 1 year]		
<b>Occupation</b>	<b>Sole/First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
	<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) _____	<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) _____	<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) _____
<b>Please tick, if applicable</b>	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)		GST: _____
<b>Any other information</b>	_____ _____ _____		

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# COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

## NOMINATION FORM

To,  
**NJ India invest Pvt Ltd**  
 Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex,  
 Central Road No. 10, Udhna, Surat - 394 210, Gujarat, India.

Dear Sir / Madam,  
 I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

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.

### BO Account Details

DP ID

Client ID

UCC

Name of the Sole / First Holder \_\_\_\_\_

Name of Second Holder \_\_\_\_\_

Name of Third Holder \_\_\_\_\_

Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	<b>Name of the nominee(s) (Mr./Ms.)</b>			
2	<b>Share of each Nominee</b>	%	%	%
	Equally [If not equally, please specify percentage]	Any odd lot after division shall be transferred to the first nominee mentioned in the form		
3	<b>Relationship With the Applicant ( If Any)</b>			
4	<b>Address of Nominee(s)</b>			
	City / Place:			
	State & Country:			
	PIN Code			
5	<b>Mobile / Telephone No. of nominee(s)</b>			
6	<b>Email ID of nominee(s)</b>			
7	<b>Nominee Identification details :-</b>			
	<ul style="list-style-type: none"> <li>▪ Photograph &amp; Signature</li> <li>▪ PAN</li> <li>▪ Aadhaar</li> <li>▪ Proof of Identity</li> <li>▪ Demat Account ID</li> </ul>			
8	<b>Date of Birth</b>			



## COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

Sr. Nos. 9-15 should be filled only if nominee(s) is a minor:				
9	Date of Birth {in case of Minor nominee(s)}			
10	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
11	Address of Guardian(s)			
	City / Place:			
	State & Country:			
	PIN Code			
12	Mobile / Telephone No. of Guardian			
13	Email ID of Guardian			
14	Relationship of Guardian with nominee			
15	Guardian Identification details :-			
	<ul style="list-style-type: none"> <li>▪ Photograph &amp; Signature</li> <li>▪ PAN</li> <li>▪ Aadhaar</li> <li>▪ Proof of Identity</li> <li>▪ Demat Account ID</li> </ul>			
		<b>Name(s) of holder(s)</b>	<b>Signature(s) of holder</b>	
<b>Sole / First Holder (Mr./Ms.)</b>			x	
<b>Second Holder (Mr./Ms.)</b>			x	
<b>Third Holder (Mr./Ms.)</b>			x	

# COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

## DECLARATION FORM FOR OPTING OUT OF NOMINATION

To,  
**NJ India invest Pvt Ltd**  
 Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh  
 Commercial Complex, Central Road No. 10, Udhna, Surat - 394 210,  
 Gujarat, India.

Date

### BO Account Details

DP ID

Client ID

UCC

Name of the Sole / First Holder \_\_\_\_\_

Name of Second Holder \_\_\_\_\_

Name of Third Holder \_\_\_\_\_

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our Trading / Demat / Mutual Fund 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 / Mutual Fund 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 / Mutual Fund account.

	Name(s) of holder(s)	Signature(s) of holder
<b>Sole / First Holder (Mr./Ms.)</b>		x
<b>Second Holder (Mr./Ms.)</b>		x
<b>Third Holder (Mr./Ms.)</b>		x

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## COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

**Notes:**

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of Demat Debit and Pledge Instruction(DDPI) cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a Demat Debit and Pledge Instruction(DDPI) holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of Demat Debit and Pledge Instruction(DDPI) cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
11. DP ID and client ID shall be provided where demat details is required to be provided.

.....(Please Tear Here).....

### Acknowledgment Receipt

Received nomination from :

**DP ID**

**Client ID**

Name			
Address			
Nomination in favor of First-Nominee			
Second- Nominee			
Third - Nominee			
No Nomination	<input type="checkbox"/> Does not wish to nominate		
Registration No.		Registered on	Date <small>D D M M Y Y Y Y</small>

**Depository Participants Seal & Signature**



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# COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

## To be filled by Branch

Employee Name \_\_\_\_\_

Date:   D  D  M  M  Y  Y  Y  Y  

Branch \_\_\_\_\_

Signature of  
the Employee

x
---

## For Processing Office Only

Audited by \_\_\_\_\_ UCC \_\_\_\_\_

Storage File No. \_\_\_\_\_

Date:   D  D  M  M  Y  Y  Y  Y  

(Originals verified) True copies of documents received

(Attested) True copies of documents received

**Member's  
Authorized  
Signatory**

x
---

**Seal/Stamp of  
stock broker**

.....(Please Tear Here).....

## ACKNOWLEDGEMENT RECEIPT

Application No.

**AA**

Date: \_\_\_\_\_

We hereby acknowledge the receipt of the Trading and Demat Account Opening Form.

Name of First/Sole Holder	
Name of Second Holder	
Name of Third Holder	

For, **NJ India Invest Private Limited** \_\_\_\_\_



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**MANDATORY & NON-MANDATORY DOCUMENT AND  
DECLARATION FOR OPENING TRADING AND DEMAT ACCOUNT**

From  
 First Holder Name \_\_\_\_\_  
 Second Holder Name \_\_\_\_\_  
 Third Holder Name \_\_\_\_\_  
 DP ID \_\_\_\_\_ Client ID \_\_\_\_\_

To  
 NJ INDIAINVEST PRIVATE LIMITED,  
 Block No.901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex,  
 Central Road No. 10, Udhna, Surat - 394210, Gujarat.

**Dear Sir,**

1. I/We hereby opt to receive the below listed documents in  Physical Form  Electronic Form
2. I/We am/are desirous of opening the trading and demat account with NJ India Invest Private Limited in the process of executing client registration documents relating to the opening of trading and demat account.
3. I/We have furnished all the details required in the Account opening form as per SEBI/Exchange/Depository requirements. I/We confirm having read/been explained & understood the contents of the Mandatory and Non- Mandatory documents which are provided to me/us in separate booklet. I/We agree that the Mandatory and Non-Mandatory document contains following:

a)	Instructions for Demat Account
b)	Instructions for Trading Account
c)	Details & Checklist for Trading and Demat Account
d)	Most Important Terms and Conditions (MITC)
e)	Rights and Obligations of the parties prescribed by SEBI and Stock exchanges.
f)	Internet & Wireless Technology based Trading facility provided by Stock Brokers to Clients
g)	Uniform Risk Disclosure Documents (RDD) prescribed by SEBI and Stock exchanges detailing risk associated with dealing in the securities market
h)	Proprietary Trade Declaration
i)	Guidance note detailing Do's and Don'ts for trading on Stock exchanges, for the education of the investors
j)	Policies and Procedures - Document describing significant policies and procedures of the Stock Broker
k)	Information on Anti Money Laundering for educating Clients
l)	Voluntary Clauses – Enabling clauses to provide services customized to suit Client's needs and improve service delivery
m)	Terms and Conditions for receiving SMS Alert from CDSL
n)	Terms and Conditions for receiving SMS Alert from NSDL
o)	Terms and Conditions for availing Transaction using Secured Texting (TRUST) service offered by CDSL
p)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
q)	I. Investor Charter - Stock Broker ii. Investor Charter - NSDL iii. Investor Charter - CDSL
r)	Mandatory and Non-Mandatory Document Booklet and Declaration

**MANDATORY & NON-MANDATORY DOCUMENT AND  
DECLARATION FOR OPENING TRADING AND DEMAT ACCOUNT**

4. I/We understand and agree that any amendment/modifications as required by the exchanges/Depository and/or regulators will be applicable to me/us at all point of time and I/We understand that these changes will be intimated to me/us.
5. I/We understand that the Mandatory and Non-Mandatory document is in accordance of the exchanges and/or SEBI/Depository requirements applicable for opening Trading and Demat Account.
6. 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 agree and undertake to inform you of any change(s) 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.
7. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and tariff sheet.
8. I/We further confirm having read and understood the contents of the "Most Important terms and conditions" outlined in this document.
9. 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 the stock broker's designated website, if any.
10. I/We have received and read the copy of Rights and Obligations of the Beneficial Owner and Depository Participant and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time.
11. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

Place: \_\_\_\_\_

Date:   D  D  M  M  Y  Y  Y  Y  

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

x

x

x

Sole/First Holder OR Guardian (In case of Minor)

Second Holder

Third Holder



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# TARIFF SHEET

## Capital Market

Particulars	Charge Structure	
	BSE	NSE
Brokerage rate	<input type="checkbox"/> 0.50% or ₹20/- on executed order whichever is lower OR <input type="checkbox"/> _____% (MIN. 0.10% - MAX. 2.5%)	<input type="checkbox"/> 0.50% or ₹20/- on executed order whichever is lower OR <input type="checkbox"/> _____% (MIN. 0.10% - MAX. 2.5%)
Transaction Charges	0.00297%	0.1% - For X, XT, Z Scrip Group 0.00375% - Other Scrip Groups
SEBI Turnover charges	0.0001%	0.0001%
Security Transaction Charges (STT)	0.1% on Buy & Sell for Delivery transaction 0.025% on Sell for Intraday Transaction	0.1% on Buy & Sell for Delivery transaction 0.025% on Sell for Intraday Transaction
Stamp Duty ( Only on Buy Transaction)	0.015% on the buy side for the Delivery transaction 0.003% on the buy side for the Intraday transaction	0.015% on the buy side for the Delivery transaction 0.003% on the buy side for the Intraday Transaction
IPF	-	0.0001%

**Note:** All charges are exclusive of applicable GST.

Name of the Client: \_\_\_\_\_  
 \_\_\_\_\_

Client  
Signature

Authorised Person's Name: \_\_\_\_\_  
 \_\_\_\_\_

Authorised Person  
Signature

Authorised Person's Code: \_\_\_\_\_



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# ANNEXURE A

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## BSE STAR MF (Letter to be provided by the investor to the MFI)

Date:     D    D    M    M    Y    Y    Y    Y    

To

NJ India Invest Private Limited

Sir,

Sub: BSE STAR MF

I/We, \_\_\_\_\_

am/are registered as your client with Client Code No. \_\_\_\_\_ for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE STAR MF 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 circular dated December 2, 2009 and as may be specified by the exchange 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 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 therefore request you to register me/us as your client for participating in BSE STAR MF.

**Thanking you,**

**Yours faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x



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# ANNEXURE A

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## Details of terms & conditions for the investor / client for using BSE STAR MF platform

### 1. Pre-requisites for becoming an investor / a client for the BSE STAR MF platform

1.1 The client, who is desirous of investing in units of mutual fund schemes through the BSE STAR MF.

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 BSE STAR 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 transaction through the MFI.

1.4 The client has approached the MFI with the application for availing the BSE STAR 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 issued by BSE's rules, regulations and notices/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 BSE STAR 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 BSE, 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 BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL).

2.10 In case of any dispute between the MFIs and the investors arising out of the BSE STAR MF platform, BSE and / or ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

**Thanking you,**

**Yours faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x



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## ANNEXURE B

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### MUTUAL FUND SERVICE SYSTEM FACILITY (Letter to be provided by the investor to the participant)

Date:   D  D  M  M  Y  Y  Y  Y  

To

NJ India Invest Private Limited

Sir,

Sub: Mutual Fund Service System (MFSS) facility

I/We, \_\_\_\_\_

are desirous of being registered as your client for the purpose of participating in the MFSS.

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with, on the MFSS of the Exchange.

I/We am/are willing to abide by the operating guidelines and terms and conditions as may be specified by the Exchange from time to time in this regard including the terms and conditions specified by the Exchange with respect to MFSS since 2009. I/We shall also comply with all the Know Your Client (KYC) and Anti Money Laundering (AML) requirements, as may be specified by the Exchange.

I/We shall also ensure 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 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 therefore request you to register me/us as your client for participating in the MFSS.

**Thanking you,**

**Yours faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x



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# ANNEXURE B

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## Details of terms & conditions for the investor / client for using new MFSS facility

### 1. Pre-requisites for becoming investor / client for the new MFSS facility

1.1. The client, who is desirous of investing in units of mutual fund schemes through the new MFSS.

1.2. The client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the participant of the new MFSS.

1.3. The client has satisfied itself of the capacity of the participant to deal in Mutual Fund units and wishes to execute its instruction through the participant and the client shall from time to time continue to satisfy itself of such capability of the participant before executing transaction through the participant.

1.4. The client has approached the participant with the application for availing the new MFSS facility.

1.5. The client has submitted relevant KYC (Know Your Client) details to the participants

### 2. Terms and Conditions

2.1. The client shall be bound by circulars issued by NSEIL from time to time including the circulars issued by NSEIL 2009 onwards and circulars issued thereafter 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 participant in writing if there is any change in the information in the 'client registration form' provided by the client to the participant at the time registering as a client for participating in the new MFSS or at any time thereafter.

2.3. The client shall submit to the participant a completed application form in the manner prescribed format for the purpose of placing an order with the participant.

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 NSEIL, SEBI and AMFI.

2.7. The client shall pay to the participant, 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 participant renders to the client.

2.8. The client will furnish information to the participant 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 participant, the client is not entitled to claim any compensation either from the investor protection fund or from any fund of NSEIL or NSCCL.

2.10. In case of any dispute between the participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

**Thanking you,**

**Yours faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x



# VOLUNTARY DECLARATION

## AUTHORIZATION FOR MAINTENANCE OF RUNNING ACCOUNT (NSE/BSE)

Date:     D    D    M    M    Y    Y    Y    Y    

I/We have been/shall be dealing through you as my/our broker on the Capital Market. 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 am/we are aware that you and I/we have the option to deliver securities/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 exchange/regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin/collateral without which we cannot deal/trade.

Therefore, I/we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/funds in settlement of trades/dealings, please keep the securities and monies with you and make credit entries for the same in running accounts of securities and fund maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/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 register of securities displaying all receipts/deliveries of funds/securities. Please explain in statement(s) being sent, the retention of funds/securities or transfer of securities to the Client Unpaid Securities Account and the details of the pledge with CC/CM, if any executed by way of transfer to the Client Collateral Account.

I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/ securities or statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever.

Please further note that I am/We are entitled to revoke this authorization at any time. 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 calendar quarter
- Once in a calendar month

**Thanking you,  
Yours Faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x

Name: \_\_\_\_\_

Unique Client Code (UCC): \_\_\_\_\_



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## OPTION FORM FOR ISSUE OF DIS BOOKLET

DP ID: \_\_\_\_\_

Client ID \_\_\_\_\_

 Date:                        

Sole/First Holder	
Second Holder	
Third Holder	

**To,**  
**NJ India Invest Private Limited**  
**Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,**  
**Central Road No.10, Udhna, Surat - 394210, Gujarat.**

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

**OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Demat Debit and Pledge Instruction (DDPI) / registered for eDIS / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Demat Debit and Pledge Instruction (DDPI) holder - Clearing Member / by PMS manager / for executing delivery instructions through eDIS.

**Yours faithfully**

	First/Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature</b>			

**OR**

**OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a DDPI/registered for eDIS / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Demat Debit and Pledge Instruction - Clearing Member / by PMS manager / for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

**Yours faithfully**

	First/Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature</b>			

.....(Please Tear Here).....

### Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID: \_\_\_\_\_

Client ID \_\_\_\_\_

Name of First/Sole Holder	
Name of Second Holder	
Name of Third Holder	

Depository Participant Seal and Signature



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## SMS ALERT & TRUST FACILITY (CDSL)

Registration Form for availing SMS Alert and /or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility

**To,**  
**NJ India Invest Private Limited**  
**Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,**  
**Central Road No.10, Udhna, Surat - 394210, Gujarat.**

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

SMART-SMS alert facility

TRUST- Transaction using Secured Texting facility

*(please note that SMS alert facility is mandatory if TRUST facility is opted for)*

BOID: 1 2 0 6 4 2 0 0 \_\_\_\_\_

Sole / First Holder's Name: \_\_\_\_\_

Second Holder's Name: \_\_\_\_\_

Third Holder's Name: \_\_\_\_\_

I/We wish to register the following clearing members / IDs under my/our above mentioned BO ID registered for TRUST

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile Number on which messages are to be sent: \_\_\_\_\_

*(Please write only the mobile number without prefixing country code or zero).*

*(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)*

The mobile number is registered in the name of \_\_\_\_\_

Email ID: \_\_\_\_\_

*(Please write only ONE valid email ID on which communication; if any, is to be sent)*

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 purpose of availing the said facility.

I/we acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / non-execution of the said transactions based on receipt/non-receipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies 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.

x \_\_\_\_\_

Sole/First Holder OR Guardian (In case of Minor)

x \_\_\_\_\_

Second Holder

x \_\_\_\_\_

Third Holder

Date:   D  D  M  M  Y  Y  Y  Y  

Place: \_\_\_\_\_



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## E-STATEMENT & SMS ALERT FACILITY FORM - NSDL

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To,  
**NJ India Invest Private Limited**  
**Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,**  
**Central Road No.10, Udhna, Surat - 394210, Gujarat.**

Dear Sir/Madam,

I/We wish to avail the below mentioned facility(ies) for my/our Demat Account with NJ India Invest Private Limited (NJII) and I/We acknowledge and grant my/our consent to NJII for providing the said services as per the given Terms & Conditions:

**Statement on E-mail**

I/We confirm having opted to receive the statement(s) pertaining to the below mentioned BO account in electronic mode in lieu of the physical copy of the statement(s).

I/We also reserve my/our right to receive the physical copy of the statement(s) despite receiving the same in electronic mode, if such a demand is made in writing to NJII.

I/We confirm that any change in the E-mail address or any other instructions with regard to dispatch/service of my/our e-statements on me/us shall not be binding upon NJII unless NJII is intimated in writing by me/us by acknowledged delivery. NJII shall not take cognizance of out-of-office/out-of-station auto replies and I/We shall be deemed to have received such statements.

I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the E-mail account.

I/We am/are aware that the statement(s) may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.

I/We have understood that NJII & myself/ourselves holds the authority to terminate Statement on mail facility provided a written notice is given in advance to the other party.

I/We affirm that NJII shall not be responsible for the non-receipt of the Statement due to any change in my/our E-mail address and if the same is not intimated by me/us to NJII and that NJII shall not take cognizance of out-of-office/out-of-station auto replies and I/We shall be deemed to have received such Statements.

I/We undertake that it shall be my/our responsibility to verify all the details of my Statement(s). In case there is any discrepancy in the Statement(s); I/we shall inform NJII of the same by writing to dpservices@njgroup.in or to Customer Care at the above mentioned address. In case I/we do not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us. However NJII in its absolute discretion, reserves the right to determine the validity of any objection to the transaction, even though the objection is received after the expiry of stipulated time.

**Statement on Web**

I/We confirm having opted to receive the statement(s) pertaining to the below mentioned BO account in electronic mode in lieu of the physical copy of the statement(s).

I/We understood that Statement on Web facility would only be provided to me only when I have Online Trading Account with NJII.

I/We also reserve my/our right to receive the physical copy of the statement(s) despite receiving the same in electronic mode, if such a demand is made in writing on NJII.

I/We am/are aware that I/we will not receive the statement(s) in paper form and I/we would be required to login to NJII's Online account to view my statements.

I/We am/are aware that the statement(s) may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.

I/We have understood that NJII & myself/ourselves holds the authority to terminate Statement on web facility provided a written notice is given in advance to the other party.



# E-STATEMENT & SMS ALERT FACILITY FORM - NSDL

I/We undertake that it shall be my/our responsibility to verify all the details of my Statement(s). In case there is any discrepancy in the Statement(s), I/we shall inform NJII of the same by writing to dpservices@njgroup.in or to Customer Care at the above mentioned address. In case I/we do not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us. However NJII in its absolute discretion, reserves the right to determine the validity of any objection to the transaction, even though the objection is received after the expiry of stipulated time.

**SMS Alert Facility**

I/We understand that the SMS Alerts would be sent for all types of debits and credit's into the below mentioned Demat Account Number.

I/We provide the following information for the purpose of REGISTRATION/MODIFICATION (Please cancel out whichever is not applicable, as per the option(s) selected above).

DP ID IN304262

Client ID \_\_\_\_\_

(Please write your 8 digit Client ID)

Mobile Number on which messages are to be sent: \_\_\_\_\_

(Please write only the mobile number without prefixing country code or zero).

The mobile number is registered in the name of \_\_\_\_\_

Email ID: \_\_\_\_\_

(Please write only ONE valid email ID on which E-Statement/Communications; if any, is to be sent)

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

Name: \_\_\_\_\_

x

Sole/First Holder OR Guardian (In case of Minor)

Name: \_\_\_\_\_

x

Second Holder

Name: \_\_\_\_\_

x

Third Holder

Date: DDMMYYYY

Place: \_\_\_\_\_

### Signature Verification Details (to Be Filled By The Dp-official Only)

Name		Signature	
Location		Emp. Code	



## SCHEDULE OF CHARGES

CDSL DP ID : 12064200 / NSDL DP ID: IN304262

**NJ India Invest Private Limited**

Regd. Office : Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex,  
Central Road No.10, Udhna, Surat - 394210, Gujarat.

Particulars	Charges	
Annual Maintenance Charges (Normal Client)	₹300/-	
Annual Maintenance Charges (BSDA Client)	Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)	Annual Maintenance Charges
	Up to ₹4 Lakhs	NIL
	More than ₹4 Lakhs but up to ₹10 Lakhs	₹100
	More than ₹10 Lakhs	Not a BSDA. Regular AMC may Levied
Demat charges	₹20/-per certificate + ₹50/-for courier handling per ISIN	
Remat Charges	₹150/- per certificate + courier handling	
Margin Pledge / unpledge	₹10/- Per ISIN	
Erroneous Transfer reversal per transaction	₹100/- Per ISIN	
Stamp Duty	At Actual Charges by Depositories	
Market /Off Market (Only Debit Transaction)	₹10.00/- per ISIN CDSL Fee: ₹ 3.50 per ISIN (DP Charges ₹ 6.50) NSDL Fee: ₹ 4.00 per ISIN (DP Charges ₹ 6.00)	
Pledge(Creation/Closure/Invocation)	₹40/- per ISIN	
DIS Reissue	₹100/- Per DIS Book (10 Slips)	
Physical CMR(Client Master Report)	₹50/ Per CMR	
Cheque Bounce Charges	₹350/-	
NDU Charges	₹50/- per request or 0.02% on transaction value whichever is higher ,Payable by the borrower for NDU requests accepted by the lender	
CAS Charges (CDSL)	Email CAS @₹0.50/- & Physical CAS @ ₹6/- per BOID.	
CAS Charges (NSDL)	Email CAS @₹0.75/- & Physical CAS @ ₹8/- per BOID.	
Interest on Delayed Payment	@13% P.A	
Modification Request	₹50/- Per Request	
Periodic / Adhoc Statement Request	Email: Free & Physical: ₹50 per SOT/SOH	

# SCHEDULE OF CHARGES

## TERMS AND CONDITIONS :

1. Annual maintenance charges have to be paid at the end of 1 year from the date of account opening.
2. In case, the client opts for closure of the demat account within 1 year from the date of account opening, then Annual Maintenance Charges shall be charged proportionately as per the SEBI circular.
3. All the charges mentioned above are inclusive of CDSL/NSDL charges.
4. All the charges are exclusive of GST at an applicable rate.
5. In case of incremental change in charges, a 30-day prior notice will be given by NJ to all its clients. However, in case of revision of charges by CDSL/NSDL, a shorter notice may be given.
6. Requests for Refund of Charges levied will not be entertained.
7. All pledge services (creation, closure and invocation) shall be separately charged at the time of each transaction.
8. The value of securities will be in accordance with the rates provided by CDSL/NSDL.
9. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.

**For CDSL:** CDSL offers DP an additional discount of ₹ 0.25 per ISIN for debit transactions done by a female demat account holder (as a first holder), Mutual Funds ISINs and for Bond ISINs. The above Market /Off Market (Only Debit Transaction) charges shall be applicable to all securities except for Commercial Paper, Certificate of Deposits and Government Securities.

**For NSDL:** For the accounts that fall under the Youth Plan, no Debit transaction fees shall be charged to the DP by NSDL for a Client's account, for a period of three years from the date of opening a new client account within a period of one year after the implementation of Youth Plan. To be eligible to qualify under the Youth Plan, the first holder must be below the age of twenty-four years at the time of opening the client account. Provided further that the Youth Plan will be subject to a review after a period of one year from the date of implementation.

We have read and understood the charges and conditions as above and agree to abide by the same

BOID: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

x

x

x

Sole/First Holder OR Guardian (In case of Minor)

Second Holder

Third Holder



FINANCIAL  
PRODUCTS  
DISTRIBUTORS  
NETWORK

# FATCA-CRS Declaration - *Individuals*

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

## SOLE/FIRST HOLDER DETAILS

PAN\* \_\_\_\_\_

Name \_\_\_\_\_

Type of address given at KYC KRA

Residential

Residential or Business

Business

Registered Office

State \_\_\_\_\_

Phone No (with ISD Code) \_\_\_\_\_

Place of Birth \_\_\_\_\_

Country of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

Are you a tax resident of any country other than India?

Yes

No

# If yes, Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN, GIIN, CIN, EIN, others, etc.

Country #	Tax Identification Number	Identification Type (TIN or Other, please specify)

## SECOND HOLDER/GUARDIAN DETAILS

PAN\* \_\_\_\_\_

Name \_\_\_\_\_

Type of address given at KYC KRA

Residential

Residential or Business

Business

Registered Office

State \_\_\_\_\_

Phone No (with ISD Code) \_\_\_\_\_

Place of Birth \_\_\_\_\_

Country of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

Are you a tax resident of any country other than India?

Yes

No

# If yes, Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN, GIIN, CIN, EIN, others, etc.

Country #	Tax Identification Number	Identification Type (TIN or Other, please specify)







### THIRD HOLDER DETAILS

PAN\* \_\_\_\_\_

Name \_\_\_\_\_

Type of address given at KYC KRA  Residential  Residential or Business  Business  Registered Office

State \_\_\_\_\_

Phone No (with ISD Code) \_\_\_\_\_

Place of Birth \_\_\_\_\_

Country of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

Are you a tax resident of any country other than India?  Yes  No

# If yes, Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN, GIIN, CIN, EIN, others, etc.

Country #	Tax Identification Number	Identification Type (TIN or Other, please specify)

### DECLARATION & SIGNATURES

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after necessary consultation with tax professionals. I/We have read and understood the information provided by me/us in this Form is true, correct and complete. I/We hereby authorize you [NJ AMC/NJ Fund/NJ India/Other group entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to the Mutual Fund, its Sponsor, Asset Management Company, trustees, their group companies, any service provider including RTA or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same.

x \_\_\_\_\_

Sole/First Holder

x \_\_\_\_\_

Second Holder

x \_\_\_\_\_

Third Holder

Place: \_\_\_\_\_

Date:                              

### FATCA & CRS Terms & Conditions

Details under FATCA & CRS : The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of Income tax Rules, 1962 which Rules require Indian financial institutions such as the Investment Entity/Custodial Institution to seek additional personal ,tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any Information provided by you, please ensure you advise us promptly, i.e within 30 days Please note that you may receive more than one request for information if you have multiple relationships with NJ India Invest Private Limited or its group entities. Therefore , it is important that you respond to our request, even if you believe you have already supplied any previously requested information.



**Head Office: NJ India Invest Private Limited**, Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna, Surat - 394 210, Gujarat.  
Phone: 91 261 4025500 | Website: www.njwealth.in | CIN: U67120GJ2000PTC037674  
SEBI Reg No - BSE, NSE & ICEX: INZ000213137, SEBI Reg No - CDSL & NSDL: IN-DP-14-2015  
**Processing Centre:** Survey No. 91/1, Gala no. 07, Shakti Industrial Estate, Near Veer Plastic, Village- Dangli Faliya, AT/PO - Naroli, Silvassa 396235, DN&H, India  
Phone: 9909042468 | Email: dpservices@njgroup.in



## DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) IN FAVOUR OF NJ INDIA INVEST PRIVATE LIMITED

I/We \_\_\_\_\_

(Sole/First Holder) Jointly with \_\_\_\_\_ (Second Holder)

And \_\_\_\_\_ (Third Holder)

Residing/registered office/place of business at \_\_\_\_\_

hold Beneficial Owner Account number (BO ID) \_\_\_\_\_ with Central Depository Services (India) Limited (CDSL)/National Securities Depository Limited (NSDL), through NJ India Invest Private Limited, a Depository Participant registered with Securities and Exchange Board of India (SEBI) bearing SEBI registration no. IN-DP-14-2015. And Whereas I/ We am/ are desirous to buy and sell securities through NJ India Invest Private Limited, a stock broker registered with SEBI and a member of recognized Stock Exchange/s (National Stock Exchange of India Limited and BSE Ltd) bearing SEBI single registration no. INZ000213137.

Whereas I/ we authorize NJ India Invest Private Limited to operate my/ our Beneficial Owner Account in a manner hereinafter appearing and subject to conditions as provided herein. Whereas I/ we hereby am/ are fully aware and understand that this DDPI is voluntary and I/ we have been fully made aware of the explicit authority consented by me/ us under this executed document.

I/ We do hereby authorize NJ India Invest Private Limited (hereinafter referred to as the "Stock Broker / Stock Broker and Depository Participant") acting through any of its directors and/or its duly authorized officers to perform the following functions on my/our behalf:

Sr. No	Purpose	Signature of the Client*		
		First Holder/ Sole Holder	Second Holder	Third Holder
1	Transfer of securities held in my/ our beneficial owner accounts towards Stock Exchange related deliveries/ settlement obligations arising out of trades executed by me/ us on the Stock Exchange through the Stock Broker.			
2	Pledging/ re-pledging of securities in favour of trading member (TM)/ clearing member (CM) for the purpose of meeting margin requirements in connection with the trades executed by me/ us on the Stock Exchange.			
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4	Tendering shares in open offers through Stock Exchange platforms			

## DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) IN FAVOUR OF NJ INDIA INVEST PRIVATE LIMITED

I/we hereby covenant, ratify and confirm that all acts done and documents executed or signed by the stock broker/ stock broker and depository participant pursuant to this DDPI has been made, done and executed in good faith and shall for all-purpose be valid and binding on me/us and I/ we undertake to indemnify the stock broker/ stock broker and depository participant against all actions proceedings, claims, costs, expenses and liabilities of every description arising from the exercise or the purported exercise in good faith, of authorities conferred by this DDPI.

The stock broker/ stock broker and depository participant may appoint and remove at its discretion any authorized signatories for or under this DDPI in respect of all or any of the matters contained herein upon such terms and conditions as the stock broker/ depository participant may think fit.

I/we further agree and confirm that the authorities conferred under this DDPI shall continue until it is revoked in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorized in this regard by the Stock Broker in its office situated at Block No.901 & 902, 6th Floor, B Tower, Udhna Udhog Nagar Sangh Commercial Complex, Central Road No 10, Udhna Surat -394 210, Gujarat. However, such revocation shall not be applicable for any outstanding settlement obligation of funds/ securities arising out of the trades carried prior to receiving request for revocation of this DDPI.

List of the Stock Broker Designated Demat Account:-

Sr. No.	POOL ID/CLIENT ID/ CM BP ID	DP Name	Purpose
1	120642000000404	NJ India Invest Private Limited	CM Pool Account(BSE)
2	1100001000020915	NJ India Invest Private Limited	Early Pay In Account(BSE)
3	1206420000012724	NJ India Invest Private Limited	CM Clearing Member Account(NSE) (Pool)
4	1100001100018830	NJ India Invest Private Limited	Early Pay In Account (NSE)
5	IN30426210000029	NJ India Invest Private Limited	NSDL Pool Account (BSE)
6	IN30426210000004	NJ India Invest Private Limited	NSDL Pool Account (NSE)
7	IN30426210000140	NJ India Invest Private Limited	NSDL TM Client Securities margin Pledge Account
8	1206420014906261	NJ India Invest Private Limited	CDSL Corporate TM/CM (CSMPA)
9	1206420018908558	NJ India Invest Private Limited	CDSL Client Unpaid Securities Pledgee Account
10	1206420012905229	NJ India Invest Private Limited	CDSL SLB -CLEARING ACCOUNT-NSE (Pool)
11	1206420005883778	NJ India Invest Private Limited	Corporate CM/TM - Proprietary Account
12	IN30426210000300	NJ India Invest Private Limited	TM/CM - Client Unpaid Securities Pledgee Account
13	IN30426210000088	NJ India Invest Private Limited	Stock Broker – Proprietary Account
14	1206420000000476	NJ India Invest Private Limited	Proprietary Account

I/we hereby authorize the stock broker/stock broker and depository participant to buy the stamp duty on DDPI through e-stamp certificate forming part of this document. I/we agree and acknowledge that the date of payment of stamp duty through e-stamp certificate or otherwise shall be considered as the date of execution of this DDPI.

I/we have hereunto set and subscribed my/our respective hands to these presents the day and the year herein below mentioned.

	Sole/First Applicant	Second Applicant	Third Applicant
NAME			
SIGNATURE			

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## DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) IN FAVOUR OF NJ INDIA INVEST PRIVATE LIMITED

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We hereby accept to exercise the authorities conferred upon us in terms of the purposes mentioned herein above. This document is in conformity with the conditions as specified in SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022 and amendments from time to time.

**For NJ India Invest Private Limited**

Director / Authorised Signatory

Date:   D  D  M  M  Y  Y  Y  Y  

Place \_\_\_\_\_





**NACH/ECS/AUTO DEBIT**

**MANDATE INSTRUCTION FORM**

UMRN

Date

Tick  Sponsor Bank Code  Utility Code

I/We hereby authorize **NJ India Invest Private Limited** to debit (tick )

Bank a/c number

with Bank  IFSC  or MICR

an amount of Rupees  ₹

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1 (Mandate Reference No.)  Phone No.

Reference 2 (Unique Client Code-UCC)  Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From

To

Or  Until Cancelled

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.  
- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

**NACH/ECS/AUTO DEBIT**

**MANDATE INSTRUCTION FORM**

UMRN

Date

Tick  Sponsor Bank Code  Utility Code

I/We hereby authorize **ICCL** to debit (tick )

Bank a/c number

with Bank  IFSC  or MICR

an amount of Rupees  ₹

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1 (Mandate Reference No.)  Phone No.

Reference 2 (Unique Client Code-UCC)  Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From

To

Or  Until Cancelled

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.  
- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.



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# BANK MANDATE TERMS & CONDITIONS

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(In favour of NJ India Invest Private Limited)

1. Bank Mandate is in favor of "NJ India Invest Private Limited" (Hereinafter 'NJ'), which will be used by NJ in the capacity of stock broker and depository participant.
2. The Bank details in the Bank Mandate MUST match with bank details updated in Client's E-Wealth Account/E-Wealth MF Account.
3. For Physical Mandate, Client Signature on bank mandate must be as per bank records. Signature of all bank account holders required if mode of holding in account is "Joint".
4. NJ reserves the right to register bank mandate with any mode i.e Auto Debit or ACH.
5. Client bank may charge client Bank accounts for activating any such services. Neither NJ nor its service provider shall be held responsible or bear any such charges.
6. The Mandate format is subject to change as per the guidelines issued by RBI/Bank or other concerned governmental or statutory authorities. NJ or its service provider may change the Mandate format without prior notice to the Clients & Transactions may be rejected by NJ or its service provider or Client's Bank due to any such change. Neither NJ nor its service provider shall be held responsible for any consequences.
7. The Mandate will be used for collection of all kinds of DP charges including Annual Maintenance Charges, client's fund obligation including pay-in and other changes arising out of client account. The Mandate shall cover all collections other than the Mutual Funds segment.
8. Client shall ensure sufficient balance in bank account for successful processing of Transactions.
9. Client banks may levy any charges to the client bank account if payment debit request submitted by NJ is failed due to any reason. Neither NJ nor its service provider shall be held responsible for any failure & any charges levied by the bank.
10. These Terms & Conditions cover Physical as well as eMandate both.
11. NJ reserves rights to change any of the Terms and Conditions without prior notice.
12. Any dispute shall be subject to exclusive jurisdiction of Courts at Surat.

\*Client Name: \_\_\_\_\_

\*Unique Client Code(UCC): \_\_\_\_\_

\*Date:                        

Client Signature:





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# BANK MANDATE TERMS & CONDITIONS

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(In favour of Clearing Corporation)

1. Bank Mandate will be in favor of 'ICCL' for BSE Clearing Corporation and 'NCL' for NSE Clearing Corporation for all mutual fund transactions of clients.
2. The Bank details in the Bank Mandate MUST match with bank details updated in Client's E-Wealth Account/E-Wealth MF Account.
3. Client banks may charge for activating any such services from the Client's account. Neither NJ nor its service provider shall be held responsible or bear any such charges.
4. Client shall ensure sufficient balance in bank account for successful processing of Transactions.
5. Mandate format is subject to change as per the guidelines issued by Clearing Corporation/Stock Exchange or RBI/Bank or other concerned governmental or statutory authorities. NJ or its service provider may change the Mandate format without prior notice to the Clients & Transactions may be rejected by NJ or its service provider or Client's Bank due to any such change. Neither NJ nor its service provider shall be held responsible for any consequences.
6. Payment collection will be done by respective Clearing Corporation for Purchase & SIP transactions done using the Mandate registered with Clearing Corporation.
7. Mandate will be registered through the service providers of respective Clearing Corporation.
8. The Client authorizes Clearing Corporation to debit the Client Bank account for recovery of any dues of the Client in regards to mutual fund transactions including recovery of erroneous payments or collections.
9. These Terms & Conditions cover Physical as well as eMandate both.
10. NJ reserves rights to change any of the Terms and Conditions without prior notice.
11. Any dispute shall be subject to exclusive jurisdiction of Courts at Surat.

\*Client Name: \_\_\_\_\_

\*Unique Client Code(UCC): \_\_\_\_\_

\*Date:                              

Client Signature:



[www.njwealth.in](http://www.njwealth.in)



**FINANCIAL  
PRODUCTS  
DISTRIBUTORS  
NETWORK**

**Head Office: NJ India Invest Private Limited**, Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna, Surat - 394 210, Gujarat.  
Phone: 91 261 4025500 | Website: [www.njwealth.in](http://www.njwealth.in) | CIN: U67120GJ2000PTC037674  
SEBI Reg No - BSE, NSE & ICEX: INZ000213137, SEBI Reg No - CDSL & NSDL: IN-DP-14-2015  
**Processing Centre:** Survey No. 91/1, Gala no. 07, Shakti Industrial Estate, Near Veer Plastic, Village- Dangj Faliya, AT/PO - Naroli, Silvassa 396235, DN&H, India  
Phone: 9909042468 | Email: [dpservices@njgroup.in](mailto:dpservices@njgroup.in)