

Application No.	<b>K</b>
UCC	
DP Client No.	
Reference No.	
Partner	
Partner Center	
Entity Name	



TRADING & DEMAT ACCOUNT OPENING  
FORM AND POWER OF ATTORNEY

NON INDIVIDUAL



FINANCIAL  
PRODUCTS  
DISTRIBUTORS  
NETWORK



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## DETAILS OF THE DEPOSITORY PARTICIPANT AND STOCK BROKER

### NJ INDIA INVEST PVT. LTD.

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

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

Compliance officer name : Rakesh P Tokarkar  
Phone no. : 0261- 4025901  
E-mail id. : compliance@njgroup.in

CEO name : Mr. Niraj R. Choksi  
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)

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.

**K**

## NJ INDIA INVEST PVT. LTD.

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 Entity / Account (Please Tick Whichever is Applicable)

Status	Sub-Status
<input type="checkbox"/> Private Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Banks <input type="checkbox"/> LLP <input type="checkbox"/> CM <input type="checkbox"/> AOP <input type="checkbox"/> Clearing House <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Charities <input type="checkbox"/> OCB <input type="checkbox"/> FI <input type="checkbox"/> NGOs <input type="checkbox"/> Body Corporate <input type="checkbox"/> Govt. Body <input type="checkbox"/> Society <input type="checkbox"/> BOI <input type="checkbox"/> FII <input type="checkbox"/> Trust <input type="checkbox"/> Non Govt. Organisation <input type="checkbox"/> Defense Establishment <input type="checkbox"/> Other _____	To be filled by the DP
SEBI Registration No. _____ (If applicable)	SEBI Registration date <u> D D M M Y Y Y Y </u>
RBI Registration No. _____ (If applicable)	RBI Registration date <u> D D M M Y Y Y Y </u>
Nationality: Indian <input type="checkbox"/> Others (specify) _____	

### Holders Details

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

Search Name \_\_\_\_\_

PAN \_\_\_\_\_

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

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

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

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

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

\*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.



## 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 Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
SMS Alert Facility (CDSL) Mobile No. +91 _____ <small>(Refer terms &amp; conditions in the booklet provided)</small> [(Mandatory , if you are giving Power of Attorney (POA)](if POA is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
SMS Alert Facility(NSDL): [Mandatory if you are giving Power of Attorney(PoA).																					
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">Sr. No.</th> <th style="width: 20%;">Holder</th> <th style="width: 10%;">Yes</th> <th style="width: 10%;">No</th> <th style="width: 50%;">Mobile No.</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td>Sole/First Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">+91 _____</td> </tr> <tr> <td style="text-align: center;">2</td> <td>Second Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">+91 _____</td> </tr> <tr> <td style="text-align: center;">3</td> <td>Third Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">+91 _____</td> </tr> </tbody> </table>	Sr. No.	Holder	Yes	No	Mobile No.	1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____	2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____	3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____	
Sr. No.	Holder	Yes	No	Mobile No.																	
1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____																	
2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____																	
3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____																	
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.  Stock Exchange Name/ID _____ Clearing Member Name _____ Clearing Member ID (Optional) _____	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
<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.nsdl.com/">https://eservices.nsdl.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 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. The segment not chosen should be struck off by the Client)

BSE Segment	Signature	NSE Segment	Signature
Cash	1(a)/15	Cash	2(a)/15
F&O	1(b)/15	F&O	2(b)/15
STAR MF	1(c)/15	MFSS	2(c)/15
Currency Derivative	1(d)/15	Currency Derivative	2(d)/15

(\*If, in future, the Client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.)

## 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

## Details of Authorised Persons

**First Authorised Person:**  Mr.  Ms.

Name: \_\_\_\_\_  
First Name Middle Name Last Name

Designation: \_\_\_\_\_

PAN \_\_\_\_\_ Unique Identification No.(UID) \_\_\_\_\_

## Residential Address

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

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

Mobile No. \_\_\_\_\_ Phone (Resi.): \_\_\_\_\_

Phone (Off): \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

**Second Authorised Person:**  Mr.  Ms.

Name: \_\_\_\_\_  
First Name Middle Name Last Name

Designation: \_\_\_\_\_

PAN \_\_\_\_\_ Unique Identification No.(UID) \_\_\_\_\_

## Residential Address

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

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

Mobile No. \_\_\_\_\_ Phone (Resi.): \_\_\_\_\_

Phone (Off): \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_





# ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

**Third Authorised Person:**  Mr.  Ms.

Name: \_\_\_\_\_  
First Name Middle Name Last Name

Designation: \_\_\_\_\_

PAN \_\_\_\_\_ Unique Identification No.(UID) \_\_\_\_\_

## Residential Address

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

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

Mobile No. \_\_\_\_\_ Phone (Resi.): \_\_\_\_\_

Phone (Off): \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

## 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



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## ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

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### FOR OFFICE USE ONLY

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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**

x

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

Date:                                        

**Seal/Stamp of  
stock broker**



# ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

## Multiple Bank Accounts

To \_\_\_\_\_ UCC: \_\_\_\_\_  
NJ INDIAINVEST PVT. LTD.,  
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 accountholder 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 accountholder 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 \_\_\_\_\_ 03/15

Sole/First Authorised Signatory



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# 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

Gross Annual Income Details	Income Range per annum: <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"/> ₹ 25,00,000 to ₹1,00,00,000 <input type="checkbox"/> More than ₹1,00,00,000
	Net worth as on (Date) <u>  D  D  M  M  Y  Y  Y  Y  </u> ₹ _____ [Net worth should not be older than 1 year]
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either <input type="checkbox"/> Politically Exposed Person (PEP) or <input type="checkbox"/> Related to Politically Exposed Person (RPEP)	
Any other information	

# COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

## Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP)

Name of holder

PAN

Date:                              

Sr. No	Name of the Authorized signatories/Promoters /Partners/Karta/Trustees/Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

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

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

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

x 04/15

x 01/04

x 01/04

Sole/First Authorised Signatory

Second Authorised Signatory

Third Authorised Signatory

### To be filled by Branch

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

Date                              

Branch \_\_\_\_\_

Signature of the Employee

x

### For Processing Office Only

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

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

Date:                              

(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.	<b>K</b>
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Date:                              

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

Name of First Authorised Signatory	
Name of Second Authorised Signatory	
Name of Third Authorised Signatory	

For, **NJ India Invest Pvt. Ltd.** \_\_\_\_\_



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

From

Entity Name \_\_\_\_\_

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

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

To  
NJ INDIAINVEST PVT. LTD.,  
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/DP requirements. I/We confirm having read/been explained & understood the contents of the Mandatory and Non- Mandatory documents which are provided to me/us. I/We agree that the Mandatory and Non-Mandatory document contains following:

a)	Instructions for Demat Account	(Page No. 1)
b)	Instructions for Trading Account	(Page No. 2)
c)	Details & Checklist for Trading and Demat Account	(Page No. 3)
d)	Rights and Obligations of the parties (including additional rights and obligations in case of internet and wireless technology based trading) prescribed by SEBI and Stock exchanges.	(Page No. 7)
e)	Internet & Wireless Technology based Trading facility provided by Stock Brokers to Clients	(Page No. 11)
f)	Uniform Risk Disclosure Documents (RDD) prescribed by SEBI and Stock exchanges detailing risk associated with dealing in the securities market	(Page No. 12)
g)	Guidance note detailing Do's and Don'ts for trading on Stock exchanges, for the education of the investors	(Page No. 16)
h)	Policies and Procedures - Document describing significant policies and procedures of the Stock Broker	(Page No. 18)
i)	Information on Anti Money Laundering for educating Clients	(Page No. 20)
j)	Voluntary Clauses – Enabling clauses to provide services customized to suit Client's needs and improve service delivery	(Page No. 22)
k)	Terms and Conditions for receiving SMS Alert from CDSL	(Page No. 27)
l)	Terms and Conditions for receiving SMS Alert from NSDL	(Page No. 30)
m)	Terms and Conditions for availing Transaction using Secured Texting (TRUST) service offered by CDSL	(Page No. 33)
n)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	(Page No. 35)
o)	Mandatory and Non-Mandatory Document Booklet and Declaration	(Page No. 38)

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

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4. I/We understand and agree that any amendment/modifications as required by the exchanges/DP 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/DP 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 '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.
9. 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.

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

Date: DD MM Y Y Y Y

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

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

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

Designation: \_\_\_\_\_

Designation: \_\_\_\_\_

Designation: \_\_\_\_\_

x		05/15
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x		02/04
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x		02/04
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Sole/First Authorised Signatory

Second Authorised Signatory

Third Authorised Signatory

(In case of more authorised signatories, please add annexure) (Signatures should be preferably in black ink).



# TARIFF SHEET

## Mutual Fund

Transaction type / Scheme type	Purchase/ Switch	Redemption	SIP
Equity/Balance			
Debt			
Liquid			
Others			

Note:

1. The above rates would be charged/collected from the client at the time of transaction.
2. Brokerage rate mentioned would be considered in percentage terms.
3. The rates would be inclusive of GST
4. NJ reserves the right to deduct the brokerage from future transactions, in case of any pending dues.
5. Brokerage structure for "Others" include all schemes not covered under Equity, Debt & Liquid.

Name of the Organisation: \_\_\_\_\_

Authorised  
Signatory

x	06/15
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Introducer's Name: \_\_\_\_\_

Introducer  
Signature

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



# TARIFF SHEET

## Capital Market

Market Segment	Brokerage Rate Structure
Direct Equity	<input type="checkbox"/> 0.50% or Rs 20/- on executed order whichever is lower <b>OR</b> <input type="checkbox"/> _____% (MIN. 0.10% - MAX. 2.5%)
Debt	<input type="checkbox"/> 0.50% or Rs 20/- on executed order whichever is lower <b>OR</b> <input type="checkbox"/> _____% (MIN. 0.10% - MAX. 2.5%)
Liquid	0.05% or Rs 20/- on executed order whichever is lower

Note:

1. In case of customized rate, Max Rate applicable is 2.5% and Minimum Rate applicable is 0.10%
2. GST on Brokerage will be charged as applicable.
3. Securities Transaction Tax (STT) applicable as per delivery & non delivery on turnover.
4. Stamp Duty Applicable State wise as per delivery and non-delivery will be levied on turnover.
5. SEBI Turnover Tax may be applicable in future.
6. Exchange Transaction Charges will be applicable in future as defined by respective exchange.

Name of the Organisation: \_\_\_\_\_

Authorised Signatory

x	07/15
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Authorised Person's Name: \_\_\_\_\_

Authorised Person Signature

x
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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 Pvt. Ltd.

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,**

x	08/15
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Sole/First Authorised Signatory



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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,**

x	09/15
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Sole/First Authorised Signatory



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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 Pvt. Ltd.

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,**

x	10/15
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Sole/First Authorised Signatory



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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,**

x	11/15
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Sole/First Authorised Signatory



# 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 and the details of the pledge, if any. 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 do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/ margin in the form of bank guarantee (BG)/ Fixed Deposit receipts (FDR).

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,**

x	12/15
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Sole/First Authorised Signatory

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

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



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# OPTION FORM FOR ISSUE OF DIS BOOKLET

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

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

Date: D D M M Y Y Y Y

Sole/First Authorised Signatory	
Second Authorised Signatory	
Third Authorised Signatory	

**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 my / our CDSL/ NSDL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

**Yours faithfully**

	Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
<b>Name</b>			
<b>Signatures</b>			

**OR** **OPTION 2:**

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

**Yours faithfully**

	Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
<b>Name</b>			
<b>Signatures</b>			

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

**Acknowledgement Receipt**

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

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

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

Name of Sole/First Authorised Signatory	
Name of Second Authorised Signatory	
Name of Third Authorised Signatory	

--

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 Authorised Signatory Name: \_\_\_\_\_

Second Authorised Signatory Name: \_\_\_\_\_

Third Authorised Signatory 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: + 9 1 \_\_\_\_\_

*(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 \_\_\_\_\_ 13/15

Sole/First Authorised Signatory

x \_\_\_\_\_ 03/04

Second Authorised Signatory

x \_\_\_\_\_ 03/04

Third Authorised Signatory

Date:                              

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](mailto: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 dpervices@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: +91 \_\_\_\_\_

(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	14/15
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Sole/First Holder OR Guardian (In case of Minor)

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

x	04/05
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Second Holder

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

x	04/05
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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
Agreement charges	NIL
Annual Maintenance Charges -Normal	Individual : ₹ 300/- Corporates : ₹ 600/-
Demat / Remat charges	₹ 3/- per certificate + ₹ 50/- for courier handling per ISIN
Custody / Holding charges	Nil
Transfer security	-
Buy	Nil
Market / Off Market (Only Debit Transaction)	₹ 25/- ( ₹ 18/- for in house market transaction) per ISIN
Pledge (Creation/ Closure/ Invocation)	₹ 40/- per ISIN

### 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 closure of the demat account within 1 year from the date of account opening, then Annual Maintenance Charges shall be charged proportionately as per SEBI circular.
3. All the charges mentioned above are inclusive of CDSL/NSDL charges.
4. GST as applicable would be levied.
5. The above charges are subject to change with 30 days prior notice. However, in case of revision of charges by CDSL/NSDL. A shorter notice may be given.
6. Charges once paid will not be refunded.
7. All instructions for transfer must be received at least one day before the execution/pay-in date.
8. Same day execution/late instructions will be accepted on "A best efforts basis" at the sole risk and responsibility of the depository account holder(s).
9. The depository services may be temporarily discontinued if the cheque given for availing DP services is returned unpaid. Intimation of discontinuation of the DP services shall be in accordance with the rules specified by CDSL/NSDL. The DP services shall be resumed after recovery of the returned cheque plus ₹100/- as additional charges.
10. All pledging services (creation, closure and invocation) shall be separately charged at the time of each transaction.
11. Value of securities will be in accordance with the rates provided by CDSL/NSDL.
12. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.

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

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

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

x 15/15

x 04/04

x 04/04

Sole/First Authorised Signatory

Second Authorised Signatory

Third Authorised Signatory



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## ANNEXURE D

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**SPECIMEN OF BOARD RESOLUTION**  
(TO BE OBTAINED ON LETTERHEAD OF THE COMPANY)

Certified true copy of the resolution passed in the meeting of the board of directors of M/s \_\_\_\_\_  
\_\_\_\_\_ having its registered office at \_\_\_\_\_ held  
on \_\_\_\_ day \_\_\_\_\_ of \_\_\_\_\_ 200\_\_ at \_\_\_\_\_

RESOLVED THAT a Trading Account be opened in the name of \_\_\_\_\_ with NJ India Invest Pvt. Ltd for dealing in shares and securities in Cash Segment on the Bombay Stock Exchange Ltd. (BSE) and/or National Stock Exchange of India Ltd. (NSE) and/or beneficiary account for the company, with NJ India Invest Pvt. Ltd. (Depository Participant of CDSL/NSDL). Further the following directors/signatories are authorised to operate the account

Sr. No.	Name	Designation	Specimen Signature

RESOLVED FURTHER THAT the above directors/signatories be and are hereby jointly and severally authorised to execute all the necessary documents that may be required for opening of the account.

RESOLVED FURTHER THAT the above directors be and are hereby authorised to give such undertakings or indemnities as may be required for the operation of the said account.

Certified To be true

For \_\_\_\_\_

Sign \_\_\_\_\_

Name \_\_\_\_\_

(Director/Managing Director/Company Secretary)



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# NON-MANDATORY - POWER OF ATTORNEY

## POWER OF ATTORNEY IN FAVOUR OF NJ INDIA INVEST PRIVATE LIMITED

To all to whom these presents shall come I/ we

1) \_\_\_\_\_  
residing at/ having its registered office at (As per  
KYC)

\_\_\_\_\_  
\_\_\_\_\_

2) \_\_\_\_\_  
residing at/ having its registered office at (As per  
KYC)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3) \_\_\_\_\_  
residing at/ having its registered office at (As per  
KYC)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Whereas** I/ we hold beneficial owner account number \_\_\_\_\_ with Central Depository Services (India) Limited (CDSL)/ National Securities Depository Limited (NSDL), through NJ India Invest Private Limited registered with Securities and Exchange Board of India(SEBI).

**And Whereas** I/ we am/ are desirous to buy and sell securities through NJ India Invest Private Limited, who is a stock broker registered with SEBI and member of National Stock Exchange of India and Bombay Stock Exchange, bearing SEBI registration no. INZ000213137 and a Depository Participant with CDSL & NSDL bearing SEBI registration no.IN-DP-14-2015.

**And Whereas** I/ we am/ are desirous of appointing NJ India Invest Private Limited as my/our constituted attorney to operate my/ our beneficial owner account on my/ our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/ we do hereby nominate, constitute and appoint NJ India Invest Private Limited (hereinafter referred to as "the stock broker") as my/our true and lawful attorney and authorise it, to perform the following functions on my/our behalf:

i. To transfer securities held in my/our

x \_\_\_\_\_ 03/05

Sole/First Authorised Signatory

x \_\_\_\_\_ 01/03

Second Authorised Signatory

x \_\_\_\_\_ 01/03

Third Authorised Signatory



# NON-MANDATORY - POWER OF ATTORNEY

aforementioned beneficial owner account(s) or any other account informed by me/us in writing to the stock broker from time to time to the demat account of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID; provided that I/we have executed a Client Member Agreement with the stock broker for such exchanges.

## Details of NJ Demat Accounts where client securities can be moved:

Exchange	Accounts	Demat Account No
BSE	CM Pool Account	120642000000404
BSE	CM Principal Account	120642000000398
BSE	Early Pay in Account	1100001000020915
BSE	Client Beneficiary Account	1206420000012456
BSE	NSDL Pool Account	IN00100210008696
NSE	CM Clearing Member Account	1206420000012724
NSE	Early Pay in Account	1100001100018830
NSE	Client Beneficiary Account	1206420000015541
NSE	NSDL Pool Account	IN00100210008839

ii. To pledge the securities in favor of the stock broker for the limited purpose of meeting my/our margin

requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker.

iii. To return to me/us, the securities that may have been received by the stock broker erroneously or those securities that the stock broker was not entitled to receive from me/us;

iv. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

v. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker.

vi. To apply for redemption or repurchase of units of mutual fund by signing & submitting requests to Depository Participant for processing on my/our behalf.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named here-in-above in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at **Block No. 901 & 902, 6th floor, 'B' Tower, Udhna Udhyog Nagar Sangh Commercial Complex, Central Road No 10, Udhna, Surat - 394 210, Gujarat.**

x 04/05

Sole/First Authorised Signatory

x 02/03

Second Authorised Signatory

x 02/03

Third Authorised Signatory



# NON-MANDATORY - POWER OF ATTORNEY

**IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year herein below written.**

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

x \_\_\_\_\_ 05/05

Sole/First Authorised Signatory

x \_\_\_\_\_ 03/03

Second Authorised Signatory

x \_\_\_\_\_ 03/03

Third Authorised Signatory

## In presence of

Witness Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature of  
Witness

x \_\_\_\_\_

**We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.**

## For NJ India Invest Pvt. Ltd.

x \_\_\_\_\_

**Authorised Signatory**

Name \_\_\_\_\_

Designation \_\_\_\_\_

Witness Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature of  
Witness

x \_\_\_\_\_

Date: DDMMYYYY

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



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# Stock Holding Corporation of India Limited

Registered office : 301, Centre Point, Dr. Babasaheb Ambedkar Road, Parel, Mumbai – 400012

Visit us at : [www.shcilestamp.com](http://www.shcilestamp.com)

VER 5.0 250512

## e-Stamping Application Form

Application Date	/ / 20	<input checked="" type="checkbox"/> Tick any one	<input checked="" type="checkbox"/> Registerable	<input type="checkbox"/> Non-Registerable
Document Description	Power of Attorney	Article	Stamp Duty Amount	₹ 10/- Indian Rupees only

### Property Description (not exceeding 100 characters)

Property Description (not exceeding 100 characters)	
Consideration of Property	₹

### First Party Details (name not exceeding 50 characters)

Name																		
Address																		
Phone	PAN											Pin Code						

### Second Party Details (name not exceeding 50 characters)

Name	NJ INDIA INVEST PVT LTD.																	
Address	Shop No. 7 & 8 Yogi Complex, Aml, Vapi Silvassa Main Road, Silvassa.																	
Phone	PAN	A	A	B	C	N	2	7	9	0	G	Pin Code	3	9	6	2	3	0

### Stamp Duty Payment Details (name not exceeding 50 characters)

Stamp Duty Purchased by																		
Stamp Duty Paid by (✓ Tick)	<input type="checkbox"/> 1st Party	<input checked="" type="checkbox"/> 2nd Party	Type of Payment	<input checked="" type="checkbox"/> Cash	<input type="checkbox"/> Cheque	<input type="checkbox"/> DD	<input type="checkbox"/> Pay-Order	<input type="checkbox"/> NEFT	<input type="checkbox"/> RTGS	<input type="checkbox"/> Account to Account Transfer								
Stamp Duty Paid by - Gender (✓ Tick)	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Jointly paid by Male & Female	<input type="checkbox"/> Others														

Cheque / DD / Pay-Order / NEFT / RTGS / Account Details			Cash Deposit		₹
Bank Name	Branch Name	Cheque /DD /PO /UTR /REF/Account No.	Deno.	Pieces	
			1000	X	
			500	X	
			100	X	
			50	X	
			20	X	
			10	X 1	10/-
			5	X	
			2	X	
			1	X	
			<b>Total</b>		10/-

- Please submit the duly filled and signed form along with stamp duty amount at the e-Stamping counter
- Stamp Duty amount should be rounded off to the nearest Rupee
- The correctness of Article type and Stamp Duty amount cannot be confirmed at the e-Stamping counter
- Once the e-Stamp is generated no modifications/changes are possible, so carefully check the preview of the e-Stamp and only then sign the preview
- Once the e-Stamp has been generated, payment cannot be cancelled or refunded by SHCIL. For cancellation you need to get in touch with the Competent Authority at the Stamp Office appointed by the State Government
- Cancellation charges are applicable as levied by the State Government

I have read and understood the above instructions and the Information given by me in this form is true to the best of my knowledge and belief.

Name of the Party/ Representative:

Signature:

(For Office use only)

I verify that the Application Form is in order

To be filled by USER

To be filled by SUPERVISOR

<b>SUBIN</b>	Certificate Number	<b>IN</b>
Signature	Signature	
Stamp Certificate received by	Name:	Signature:

### SHCIL E-Stamping

### Receipt

(To be filled in by the client)

Stamp Duty Purchased By	Stamp Duty Paid by	<input type="checkbox"/> 1st Party	<input type="checkbox"/> 2nd Party
Stamp Duty Amount	₹	Type of Payment	<input checked="" type="checkbox"/> Cash <input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> Pay-Order <input type="checkbox"/> NEFT <input type="checkbox"/> RTGS <input type="checkbox"/> Account to Account Transfer
Cheque/ DD/ PO/ UTR/ REF/Account No.	Date:	/	/20
Bank Name	Branch Name		
Counter Signature with Seal			

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## DEBIT CARD REGISTRATION REQUEST

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To,  
NJ India Invest Private Limited  
Udhna, Surat.

Subject : Undertaking with Request to register Debit Card on my/our Trading Account

Dear Sir / Madam,

I/ we hereby request you to get my/our Debit Card registered with your Company for the purpose of making online payments through my/our Trading Account using the registered Debit Card.

I/ we further confirm & undertake that my/ our below mentioned Debit card is mapped with my/ our bank account which is registered in my/our NJ Trading Account.

UCC	
Registered Bank Name	
Name as on Debit Card	
Bank Account Number	
Debit Card Number	
Card Expiry Date	

Note:

1. For verification, please attach a photocopy of your above mentioned Debit Card (Only front side)
2. For security reasons, kindly do not share CVV/code/password with any person.

I/we further undertake to inform your company if I/we link the above mentioned Debit card with any other bank account. I/we would be pleased to provide the further information or explanations as & when required.

The details provided hereinabove are true and correct to the best of my/our knowledge and belief, nothing has been concealed therefrom. If anything contrary to above will be found later by the Company, I/we shall be responsible for the consequences thereof.

Name of the Authorized Signatory .....

Designation  
(For Non Individual only) .....

Name of Constituent  
(For Non Individual only) .....

Signature .....

Date .....



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FINANCIAL PRODUCTS DISTRIBUTORS NETWORK

# FATCA-CRS Declaration - Entities

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

PAN\* [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] Name [ ]

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

City of incorporation [ ]

Country of incorporation [ ]

Net Worth in INR. In ₹ Lakhs [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] Net Worth as on [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] (Date should not be older than one year)

Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	YES	Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates]	YES	Money Laundering / Pawning	YES	Any other information (if applicable)
		NO		NO		NO	

Entity Constitution Type *Please tick as appropriate*

Partnership Firm  HUF  Private Limited Company  Public Limited Company  Society  AOP/BOI

Trust  Liquidator  Limited Liability Partnership  Artificial Juridical Person  Others specify \_\_\_\_\_

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India  Yes  No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number <sup>%</sup>	Identification Type (TIN or Other <sup>%</sup> , please specify)

<sup>%</sup>In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification Number or Global Entity Identification Number.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here [ ]

### FATCA Declaration

(Please consult your professional tax advisor for further guidance on FATCA classification)

**PART A** (to be filled by Financial Institutions or Direct Reporting NFFEs)

1. We are a,   
 Financial institution<sup>6</sup>    
 or   
 Direct reporting NFFE<sup>7</sup>    
 *(please tick as appropriate)*

**GIIN** [ ]

**Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity [ ]

[ ] [ ]

**GIIN not available** (please tick as applicable)

Not required to apply for - please specify 2 digits sub-category<sup>10</sup> [ ] [ ]

Not obtained – Non-participating FI

**PART B** (please fill any one as appropriate to be filled by NFEs other than Direct Reporting NFEs)

1.	Is the Entity a <b>publicly traded company</b> <sup>1</sup> (that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please specify any one stock exchange on which the stock is regularly traded)</small> Name of stock exchange _____
2.	Is the Entity a <b>related entity</b> <sup>2</sup> of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</small> Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3.	Is the Entity an <b>active</b> <sup>3</sup> NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please fill UBO declaration in the next section.)</small> Nature of Business _____ Please specify the sub-category of Active NFE [ ] [ ] <small>(Mention code – refer 2c of Part D)</small>
4.	Is the Entity a <b>passive</b> <sup>4</sup> NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please fill UBO declaration in the next section.)</small> Nature of Business _____

<sup>1</sup>Refer 2a of Part D | <sup>2</sup>Refer 2b of Part D | <sup>3</sup>Refer 2c of Part D | <sup>6</sup>Refer 1 of Part D | <sup>7</sup>Refer 3(vii) of Part D | <sup>10</sup>Refer 1A of Part D

## UBO Declaration

**Category** (Please tick applicable category):

<input type="checkbox"/> Unincorporated association / body of individuals	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust	<input type="checkbox"/> Private Trust	<input type="checkbox"/> HUF
<input type="checkbox"/> Listed Company (Need not provide UBO details sought under)	<input type="checkbox"/> Others (please specify _____)			

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

Owner-documented FFI's<sup>5</sup> should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person #Country - Tax Residency* #Tax ID No. - Or functional equivalent for each country <sup>8</sup>	#Tax ID Type - TIN or Other, please specify Beneficial Interest - in percentage #Type Code <sup>11</sup> - of Controlling person	Address - Include State, Country, PIN / ZIP Code & Contact Details
1. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Beneficial Interest _____ Type Code _____	Address _____ ZIP [ ][ ][ ][ ][ ][ ][ ][ ][ ] State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Beneficial Interest _____ Type Code _____	Address _____ ZIP [ ][ ][ ][ ][ ][ ][ ][ ][ ] State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Beneficial Interest _____ Type Code _____	Address _____ ZIP [ ][ ][ ][ ][ ][ ][ ][ ][ ] State: _____ Country: _____

If passive NFE, please provide below additional details.

(Please attach additional sheets if necessary)

PAN City of Birth Country of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
1. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB DD/MM/YYYY Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
2. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB DD/MM/YYYY Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
3. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB DD/MM/YYYY Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>

# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

\* To include US, where controlling person is a US citizen or green card holder

\*In case Tax Identification Number is not available, kindly provide functional equivalent

<sup>4</sup>Refer 3(iii) of Part D | <sup>5</sup>Refer 3(vi) of Part D | <sup>11</sup>Refer 3(iv) (A) of Part D

## FATCA Terms and Conditions

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, 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. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### Certification

I have understood the information requirements of this Form (read along with the Instructions & Definitions) and hereby confirm that the information provided by us on this Form is true, correct, and complete. I also confirm that I have read and understood the FATCA Terms and Conditions above and hereby accept the same.

<b>Name</b>	
<b>Designation</b>	
<b>Signature &gt;&gt;</b>	
<b>Place</b> _____	
<b>Date</b> __ / __ / ____	

## PART D FATCA Instructions & Definitions

**1 Financial Institution (FI)** - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

- o Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- o Custodial institution is an entity that has a substantial portion of its business, holds financial assets for the account of others and where the entity's gross income attributable to holding financial assets and related financial services equals to or exceeds 20 percent of the entity's gross income during the shorter of -

(1) The three financial years preceding the year in which determination is made; or

(2) The period during which the entity has been in existence, whichever is less.

o Investment entity is any entity:

- o that primarily conducts a business or operates for or on behalf of a customer for any of the following 3 activities-
  - Trading in money market instruments, foreign exchange, foreign currency, etc.
  - Individual or collective portfolio management
  - Investing, administering or managing funds, money or financial asset on behalf of other persons;

or

- o The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.
- o (An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:
  - (i) the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
  - (ii) the period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

- o Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

o FI not required to apply for GIIN:

A. Reasons why FI not required to apply for GIIN:

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

## 2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets

(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity which is regularly traded on an established securities market;

**C. Active NFE : (is any one of the following):**

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year or other appropriate reporting period is <i>passive income</i> and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of <i>passive income</i> ;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	<p>Any NFE is a 'non for profit' organization which meets all of the following requirements:</p> <p>It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</p> <p>It is exempt from income tax in India;</p> <p>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</p> <p>The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</p> <p>The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.</p>

### 3. Other definitions

**(i) Related entity**

An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote or value in an entity.

**(ii) Passive NFE**

The term passive NFE means any NFE that is

- (a) not an Active NFE or publicly traded entity or a entity related to a publicly traded entity
- (b) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity
- (c) a withholding foreign partnership or withholding foreign trust as defined under the relevant U.S. Treasury Regulations.

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

**(iii) Passive income**

The term passive income means the portion of gross income that consists of-

- (a) Dividends, including substitute dividend amounts;
- (b) Interest
- (c) Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amounts received depend in whole or part upon the performance of the pool;
- (d) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE
- (e) Annuities
- (f) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (g) The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any financial assets,
- (h) The excess of foreign currency gains over foreign currency losses
- (i) Net income from swaps
- (j) Amounts received under cash value insurance contracts

But not passive income will not include in case of a non-financial entity that acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as a dealer.

**(iv) Controlling persons**

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under the PMLA Rules. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

<i>(A) Controlling Person Type:</i>	
<i>Code</i>	<i>Sub-category</i>
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement--trust-trustee
06	CP of legal arrangement--trust-protector
07	CP of legal arrangement--trust-beneficiary
08	CP of legal arrangement--trust-other
09	CP of legal arrangement—Other-settlor equivalent
10	CP of legal arrangement—Other-trustee equivalent
11	CP of legal arrangement—Other-protector equivalent
12	CP of legal arrangement—Other-beneficiary equivalent
13	CP of legal arrangement—Other-other equivalent

*(v) Specified U.S. person – A U.S. person other than the following:*

- (a) a corporation the stock of which is regularly traded on one or more established securities markets;
- (b) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (c) the United States or any wholly owned agency or instrumentality thereof;
- (d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (e) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (f) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (g) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (h) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (i) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (j) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (k) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (l) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (m) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

*(vi) Owner documented FFI*

An FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFFE.

*(vii) Direct reporting NFE*

A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

(viii) Exemption code for U.S. persons

Code	Sub-category
a	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
b	The United States or any of its agencies or instrumentalities
c	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
d	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
e	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
f	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
g	A real estate investment trust
h	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
i	A common trust fund as defined in section 584(a)
j	A bank as defined in section 581
k	A broker
l	A trust exempt from tax under section 664 or described in section 4947(a)(1)
m	A tax exempt trust under a section 403(b) plan or section 457(g) plan

**NACH/ECS/AUTO DEBIT  
MANDATE INSTRUCTION FORM**

UMRN  Date

Tick (✓) Sponsor Bank Code  Utility Code

CREATE I/We hereby authorize **NJ India Invest Pvt Ltd.** to debit (tick ✓)  SB/CA/CC/SB-NRE/SB-NRO/Other  
MODIFY

CANCEL 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

CREATE I/We hereby authorize **BSE Limited** to debit (tick ✓)  SB/CA/CC/SB-NRE/SB-NRO/Other  
MODIFY

CANCEL 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

## Bank Mandate Terms & Conditions :

1. Bank Mandate shall be in favor of 'NJ India Invest Private Limited'. (Hereinafter 'NJ')
2. The Bank details in the Bank Mandate MUST match with bank details in Client's Trading Account.
3. 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 in any available modes ie Auto Debit, ACH, ECS,.
5. Bank Mandate shall take 30 days to get registered from the date of submission of Mandate at NJ PSC (subject to Bank confirmation).
6. Client bank may charge client account for activating any such services. Neither NJ nor its service provider shall be held responsible or bear any such charges.
7. Mandate format is subject to change as per the guidelines received from RBI/Bank or other concerned governmental or statutory authorities. On receiving any such intimation from RBI or Bank, NJ or its service provider may change the Mandate 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 such rejections.
8. The mandate can also be used for collection of all kind of DP charges including Annual Maintenance Charges from the Client's bank account.
9. This mandate covers all the fund obligations of the Client including pay-in and other charges etc in respect of Client's transactions and on account of any default thereon.

## Call & Transact Terms & Conditions:

1. On activation of Trading Account, Call & Transact user ID & TPIN will be sent to client registered email id & mobile number. Client MUST ensure confidentiality of the same.
2. Client can place transaction on Call & Transact for all segments offered by NJ.
3. MF purchase transaction will be accepted on Call & Transact only if the Client's registered bank is from the list of Banks offered by NJ for purchase facility.
4. It is client responsibility to check the cut-off time for same day NAV before placing the transaction.
5. If the Transaction(s) are delayed / not processed due to any reason including delay / non realization of the funds or status to NJ from Client's bank, In no circumstances NJ owes the responsibility to client.
6. Client has to call on the designated phone number to place the transaction. Client will have to enter User ID & TPIN to place the transaction. Transactions once placed on Call, shall not be reversed in any circumstances whatsoever.
7. Client has to ensure sufficient fund in the bank account before placing the purchase transaction through Call & Transact.
8. Funds (inclusive of brokerage if any) will be debited from Client bank account for the transactions placed through Call & Transact facility. If funds are not received from Client's bank account, Transaction will be rejected.
9. Client bank may levy any charges to 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. Maximum Upper Limit: Cumulative amount (All Segments) on a particular date shall not exceed the upper limit mentioned on the Bank Mandate. Further, on the Instalment date of Registered SIP (MF or CM) the available balance for investment through Call & Transact shall be balance after SIP Instalment amount on that particular date. Eg: If the upper limit mentioned on the bank mandate is 10,000 & investor has registered SIP of 5000/- on 1st of every month, then balance for investing through Call&Transact on 1st will be 5000 only.
11. Call & Transact service is available subject to applicable laws and regulatory compliances from time to time.
12. NJ reserves rights to change the terms and conditions from time to time.
13. Any dispute shall be subject to jurisdiction of Courts at Surat only.

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

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

\*Date:                              

Client Signature:



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## SIP SPECIFIC TERMS & CONDITIONS

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1. The SIP will be registered pursuant to the details given in the TIS (Transaction Instruction Slip) & incomplete TIS or incorrect information may be subject to rejection by NJ.
2. NJ will check the correctness of TIS & other documents submitted before registration of Client SIP(s).
3. The Client submitting the Transaction Instruction Slip to NJ India Invest Private Limited (NJ) shall all the time abide by these Terms and Conditions.
4. Amount debited from Client's bank account for SIP transaction(s) shall include Brokerage charges, if any.
5. Client can register for SIP in the schemes which are available on Exchange(s) and offered by NJ.
6. SIP shall commence only after successful registration of the Mandate.
7. SIP shall commence after 40 days from the date of submission of TIS and Bank Mandate at NJ PSC as per the SIP start date selected.
8. In the case, where Bank Mandate is already registered and Client desires to start additional SIP against the existing Mandate Limit, SIP start date will be after 10 working days from the date of submission of TIS at NJ PSC as per the SIP Start Date selected (applicable in case an open mandate is given).
9. Depending upon the bank of Client / location of Client's bank branch, Client's Bank Account shall be debited between 3 to 5 days prior or on SIP transaction date on Exchange(s). eg: if the SIP transaction date is 15th of every month, Client bank account may get debited between 10th to 12th date or maximum by 15th.
10. Maximum Upper Limit: Cumulative amount on a particular date shall not exceed the upper limit mentioned on the Bank Mandate. Eg: if the upper limit mentioned on the bank mandate is 10,000 & investor has registered 3 SIPs of 5000/- each on 1st, 15th & 28th of every month, all the SIPs will be successfully registered. But a single SIP of 11000/- on a same date will not be registered.
11. If the Transaction(s) are delayed / not processed due to any reason including delay / non realization of the funds to NJ from Client's bank account, In no circumstances, NJ owes responsibility to Client or any third party, whatsoever.
12. If the transaction(s) are delayed / not processed due to any reason on the SIP due date, no back dated NAV will be given in any circumstances whatsoever.
13. In case if Client SIP fund is realised in NJ account after SIP due date, Client's SIP transaction will be cancelled by NJ and such transaction shall be processed as "Purchase" on the date of realisation of the funds. If for any reason, "Purchase" transaction could not be processed, the funds will be refunded to Client's bank account.
14. Payment collection will be done by BSE for any SIP which is registered on the Mandate registered with BSE.
15. If the installment amount is not received by BSE on or before SIP installment date, SIP Installment will be cancelled by BSE.
16. For cancelled installment, collected amount will be refunded to client registered bank account.
17. NJ reserves rights to change the terms and conditions from time to time.
18. Any dispute shall be subject to jurisdiction of Courts at Surat only.

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

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

\*Date:                              

Client Signature:



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# BSE BANK MANDATE TERMS & CONDITIONS

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1. Bank Mandate shall be in favor of 'BSE Limited'. (Hereinafter 'BSE')
2. The Client name MUST match with the name registered with NJ as per the UCC.
3. The Bank details in the Bank Mandate MUST match with registered bank details in Client's Trading Account.
4. The Transaction value and brokerage charges, if any, shall be debited from Client's bank account .
5. BSE reserves the right to register bank mandate in any available modes ie ACH & ECS,.
6. Mandate registration shall take 30 working days to get registered from the date of submission of Mandate at NJ PSC subject to Bank Confirmation.
7. Client bank 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.
8. Client shall ensure sufficient balance in Client's bank account for successful processing of Transactions.
9. Mandate format is subject to change as per the guidelines received from BSE or RBI/Bank or other concerned governmental or statutory authorities. On receiving any such intimation from RBI or Bank or any other concerned party, NJ or its service provider may change the Mandate 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 such rejections.
10. Payment collection will be done by BSE for any SIP which is registered on the Mandate registered with BSE.
11. If the installment amount is not received by BSE on or before SIP installment date, SIP Installment will be cancelled by BSE.
12. For cancelled installment, collected amount will be refunded to client registered bank account.
12. NJ reserves rights to change the terms and conditions from time to time.
13. Any dispute shall be subject to jurisdiction of Courts at Surat only.

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

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

\*Date:                        

Client Signature:



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