

ANNEXURE – 1
INDEX OF DOCUMENTS

A. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
S.N.	Name of the Document	Brief Significance of the Document	Pg. No
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	2-10
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	11-12
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	13-17
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	18-21
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	22-23
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	24-26
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	27
B. VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
1.	Running Account Authorisation	This letter is authorisation to maintain fund, securities on running account basis & for authorisation to receive contract as well other relevant documents.	28
2.	ECN Letter	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	29
3.	Debit authorisation letter	This letter authorises DP to debit charges of demat account to trading account	30
4.	Additonal Rules & Regulation	This letter is for smooth functioning of account	30-31
5.	Common Mobile & E mail id	As per format	32
6.	Sharing of Data & Information	As per details mentioned	32
7.	Request & Authority for Placement of Securities Collateral & Withdrawal	As per format	33
C. DP SECTION:			
1.	Checklist & DP FORM	Document captures checklist & additional information about the constituent relevant to DP account opening form	35-37
2.	DDPI	Authorisation for Payouts directly from DP account.	38-39
3.	Nomination Form	Nomination form for all three holders	40-41
4.	SMS Alert	This contains term & conditions regarding SMS alert	42-43
5.	Rights & Obligations	Rights & Obligations of Bo & Dp as per SEBI	44-45
6.	BSDA & Option Form for DIS	BSDA declaration & DIS booklet for PMS client.	46-47
7.	Schedule of Charges (CDSL)	Document detailing the charges levied on the client of various categories.	48
8.	e-Statement of account & Declaration for NRI / FN	To receive statement of a/c. like holding/transaction/ledger/bills/debit notes/credit note in electronic mode & FEMA	49
9.	FATCA	As per format	50-52

DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003

B R Jalan Securities Pvt Ltd caters to Institutional, Corporate, High net-worth and other retail clients through membership of various exchanges. B R Jalan Securities Pvt Ltd besides doing client based business also does its own investment and/or trading.

For B R Jalan Securities Pvt Ltd

"Proprietary Trading Disclosure noted"

Director/Authorised Signatory

Client's Signature

First Holder's Signature

Name of stock broker/ trading member/clearing member	B R JALAN SECURITIES PVT LTD								
SEBI Registration No. and date	For BSE, NSE & MSEIL INZ 000199136 & Dated: 11.9.2018 BSE Code No.: 062, NSE Code No.: 90182, CM Code: M70013 & MSEIL Clearing No.: SCM-86500 CM: 156								
Clearing member of (BSE/NSE F&O): GLOBE CAPITAL MARKET LIMITED 804, Ansal Bhawan, 16, Kasturba Gandhi Marg, New Delhi, Delhi - 110001. Tel. No.: 011-23316916-920, Fax: 011-23720880 • SEBI Regn. No.: INZ000177137 Email: preeti@globecapital.com, globedp@globecapital.com, arun@globecapital.com CIN No.: U74100DL1985PLC021350 Clearing member of (BSE/NSE Currency/Commodity): SMC GLOBAL SECURITIES LTD. (NSE- 07714 • BSE-470) 11/68, Shanti Chamber, Pusa Road, New Delhi - 110005 Tel. No.: +91-11-301 11000, 40753333 • Fax: +91-11-25754365 • SEBI Regn. No.: INZ000199438 E-mail: smc@smcindiaonline.com • Website: www.smcindiaonline.com • CIN No.: L74899DL1994PLC063609									
Self Clearing member of MSEIL F&O Segment									
Registered office address:	903, 9th Floor, Marathon Icon, Marathon Nextgen Campus, Off. Ganpatrao Kadam Marg, Veer Santaji Lane, Lower Parel (W), Mumbai - 400013, Tel.: 022 24923458, 41208430, 66159738 brjalan@hotmail.com brjalansecpvtltd@gmail.com								
Corporate office address:	271/273 Mumbadevi Road, 4th Floor, Mumbai - 400 002. E-mail: brjalan@hotmail.com, brjalansecpvtltd@gmail.com								
Compliance officer name: phone no. & email id: Ceo name: phone no. & email id:	Sushil Kumar Shah 93205 93791 • susilshah78@gmail.com Bimal Kumar Jalan 93232 12388 • brjalan@hotmail.com								
For any grievance/dispute please contact B R JALAN SECURITIES PVT LTD at the above address or email id: brjcom@gmail.com and Phone no. 91-93232 12388. In case not satisfied with the response, please contact the concerned exchange(s) at BSE Tel:-022 22728097, 22728517 E-mail Id :- is@bseindia.com, on NSE Tel: 1800 266 0058 • E-mail Id: ignse@nse.co.in, on MSEIL Tel:- 022 6731 8933 / 9000 • E-mail Id:- investorcomplaints@msei.in and you can also lodge your grievance with SEBI at http://scores.gov.in Toll Free No.: 1800 266 7575 or 1800 22 7575 Mandatory Filing Compliant SMART ODR PORTAL https://smartodr.in/intermediary/login									
Subject: Displaying of information regarding SEBI Complaint Redress System (SCORES) in the website As per NSE Circular No. NSE/ISC/2019/4 Dated July 4, 2019 in order to make complaint redressal mechanism more efficient through SCORES clients may note the following procedures: a. Register on Scores portal (Link: https://scores.gov.in/scores/Welcome.html) b. Mandatory details for filing complaints on SCORES: i. Name, PAN, Address, Mobile Number, Email id c. Benefits: i. Effective communication ii. Speedy redressal of the grievances Tel.: 1800 266 7575 or 1800 22 7575 • www.scores.gov.in									
KRA Registration details (For office purpose only) If client is already registered with KRA please fill in below details: <input type="checkbox"/> NDML <input type="checkbox"/> CVL <input type="checkbox"/> Others _____ (Please tick (✓) any one) (Please furnish photocopy of KRA Registration letter) KRA Registration No.: _____ Date of Registration: <table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>		D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003 B R JALAN SECURITIES PVT LTD caters to Institutional, Corporate, High net-worth and other retail clients through membership of various exchanges. B R JALAN SECURITIES PVT LTD besides doing client based business also does its own investment and/or trading. For B R JALAN SECURITIES PVT LTD “Proprietary Trading Disclosure noted” Client Name : _____ Client Code : _____ Director/Authorised Signatory Client’s Signature 									

Note: Any correction kindly counter signature, please do not use white ink.

CHECK LIST FOR FILLING KYC FORM

(Please tick against documents provided)

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

1. ☐ Unique Identification Number (UID) (Aadhaar)
☐ Passport
☐ Voter ID card
☐ Driving license.
2. ☐ PAN card with photograph.
3. ☐ Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

B. Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. ☐ Passport
☐ Voters Identity Card / UID (AADHAR CARD)
☐ Ration Card
☐ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
 2. ☐ Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill (**Not more than 3 months old**).
 3. ☐ Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
 4. ☐ Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
 5. ☐ Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
 6. ☐ For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address.
 7. ☐ The proof of address in the name of the spouse.
- C.** ☐ Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- D.** ☐ Demat master or recent holding statement issued by DP bearing name of the client.
- E. Financial Details** (Attach copy of any one of following in support of financial details)
Illustrative list of documents:- (Compulsory for Derivatives Segment)
- ☐ Copy of ITR Acknowledgement
 - ☐ Copy of Annual Accounts
 - ☐ In case of salary income - Salary Slip
 - ☐ Copy of Form 16
 - ☐ Net worth certificate
 - ☐ Copy of demat account holding statement
 - ☐ Bank account statement for last 6 months
 - ☐ Any other relevant documents substantiating ownership of assets.
 - ☐ Self declaration with relevant supporting documents.

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

For Individuals:

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (Please submit the KYC documents on A4 size paper only)

A. IMPORTANT POINTS:

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

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

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

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

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

card/Latest Property tax

8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar)/ Passport/Voter ID card/Driving License/Letter issued by NPR/ NREGA job card

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)




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







E. List of people authorized to attest the documents:




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

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be e-signed.
 - Applicant details are verified using UIDAI Biometric details.
 - Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
 - Intermediary attestation on documents is exempted.
2. EKYC OTP
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be e-signed.
 - Applicant details are verified using UIDAI details using OTP.
 - Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
 - Intermediary attestation on documents is exempted.
3. ONLINE KYC
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be e-signed.
 - Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
 - Intermediary attestation on documents (OSV) is exempted.
4. OFFLINE EKYC
 - Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
 - The documents should be e-signed.
 - Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
 - Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
5. DIGILOCKER
 - Digital KYC performed through the documents (OVD) sourced from Digilocker.
 - Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
 - Intermediary attestation on documents is exempted.

Know Your Client (CKYC) + KRA Form Application Form (For Individuals Only)		 		MANDATORY (First Holder)	
Please fill this form in English & in BLOCK letters Fields marked * are mandatory Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also		B R JALAN SECURITIES PVT LTD			
KYC Mode*: Please Tick by Click on Box		Application Number: _____ Please tick by click of a BOX Application Type* <input type="checkbox"/> NEW KYC <input type="checkbox"/> Modification KYC CKYC Number: _____			
<input type="checkbox"/> Normal <input type="checkbox"/> EKYC OTP <input type="checkbox"/> EKYC Biometric <input type="checkbox"/> Online KYC <input type="checkbox"/> Online KYC <input type="checkbox"/> Offline KYC <input type="checkbox"/> Digilocker					
1. IDENTITY DETAILS (Please refer guidelines overleaf)					
PAN* _____ Please enclose a duly attested copy of your PAN Card					
Name* (same as ID proof) _____					
Maiden Name* (if any) _____					
Father / Spouse Name* _____					
Date of Birth* _____					
Gender* <input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender					
Marital Status* <input type="checkbox"/> Single <input type="checkbox"/> Married					
Nationality* <input type="checkbox"/> Indian <input type="checkbox"/> Other _____					
Residential Status* <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian					
Please tick (✓) <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin* (Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the Individual)					
Recent passport size Applicant Photo					
Cross Signature across photograph					
Proof of Identity (POI) submitted for PAN exempted cases (please tick)					
<input type="checkbox"/> A - Aadhaar Card XXXX XXXX _____					
<input type="checkbox"/> B - Passport Number _____ (Expiry Date) _____					
<input type="checkbox"/> C - Voter ID Card _____					
<input type="checkbox"/> D - Driving Licence _____ (Expiry Date) _____					
<input type="checkbox"/> E - NREGA Job Card _____					
<input type="checkbox"/> F - National Population Register Letter _____					
<input type="checkbox"/> Z - Others _____ (any document notified by Central Government)					
Identification Number _____					
2. Address Details* (Please refer guidelines overleaf)					
A. Correspondence/Local Address*					
Line 1* _____					
Line 2 _____					
Line 3 _____					
City/Town/Village* _____ District* _____ Pin Code* _____					
State* _____ Country* _____					
Address Type* <input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified					
				Applicant e-SIGN	
					

<div>Know Your Client (CKYC) + KRA Form Application Form (For Individuals Only)</div> <div>Please fill this form in English & in BLOCK letters Fields marked * are mandatory Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also</div> <div>KYC Mode*: Please Tick by Click on Box</div>	<div><div></div><div><div>MANDATORY (Second Holder)</div><div>B R JALAN SECURITIES PVT LTD</div></div></div> <div>Application Number: _____ Please tick by click of a BOX Application Type* <input type="checkbox"/> NEW KYC <input type="checkbox"/> Modification KYC CKYC Number: _____ <input type="checkbox"/> Normal <input type="checkbox"/> EKYC OTP <input type="checkbox"/> EKYC Biometric <input type="checkbox"/> Online KYC <input type="checkbox"/> Online KYC <input type="checkbox"/> Offline KYC <input type="checkbox"/> Digilocker</div>		
<div>1. IDENTITY DETAILS (Please refer guidelines overleaf)</div> <div><div>PAN* _____ Please enclose a duly attested copy of your PAN Card</div><div><div>Name* (same as ID proof) _____ Maiden Name* (if any) _____ Father / Spouse Name* _____ Date of Birth* _____ Gender* <input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender Marital Status* <input type="checkbox"/> Single <input type="checkbox"/> Married Nationality* <input type="checkbox"/> Indian <input type="checkbox"/> Other _____ Residential Status* <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian Please tick (✓) <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin* (Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the Individual)</div><div><div>Recent passport size Applicant Photo</div><div> Cross Signature across photograph</div></div></div><div><div>Proof of Identity (POI) submitted for PAN exempted cases (please tick)</div><div><div><div><input type="checkbox"/> A - Aadhaar Card <input type="checkbox"/> B - Passport Number <input type="checkbox"/> C - Voter ID Card <input type="checkbox"/> D - Driving Licence <input type="checkbox"/> E - NREGA Job Card <input type="checkbox"/> F - National Population Register Letter <input type="checkbox"/> Z - Others</div><div>XXXX XXXX _____ _____ _____ _____ _____ _____ _____ (any document notified by Central Government)</div><div>(Expiry Date) _____ (Expiry Date) _____</div></div><div>Identification Number _____</div></div></div><tr><td colspan="2"><div>2. Address Details* (Please refer guidelines overleaf)</div><div><div>A. Correspondence/Local Address*</div><div><div>Line 1* _____ Line 2 _____ Line 3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____ Address Type* <input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified</div><div><div></div><div><div>Applicant e-SIGN</div><div></div></div></div></div></div></td></tr></div>		<div>2. Address Details* (Please refer guidelines overleaf)</div> <div><div>A. Correspondence/Local Address*</div><div><div>Line 1* _____ Line 2 _____ Line 3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____ Address Type* <input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified</div><div><div></div><div><div>Applicant e-SIGN</div><div></div></div></div></div></div>	
<div>2. Address Details* (Please refer guidelines overleaf)</div> <div><div>A. Correspondence/Local Address*</div><div><div>Line 1* _____ Line 2 _____ Line 3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____ Address Type* <input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified</div><div><div></div><div><div>Applicant e-SIGN</div><div></div></div></div></div></div>			

Know Your Client (CKYC) + KRA Form Application Form (For Individuals Only)		 		MANDATORY (Third Holder)	
Please fill this form in English & in BLOCK letters Fields marked * are mandatory Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also		B R JALAN SECURITIES PVT LTD			
KYC Mode*: Please Tick by Click on Box		Application Number: _____ Please tick by click of a BOX Application Type* <input type="checkbox"/> NEW KYC <input type="checkbox"/> Modification KYC CKYC Number: _____			
<input type="checkbox"/> Normal <input type="checkbox"/> EKYC OTP <input type="checkbox"/> EKYC Biometric <input type="checkbox"/> Online KYC <input type="checkbox"/> Online KYC <input type="checkbox"/> Offline KYC <input type="checkbox"/> Digilocker					
1. IDENTITY DETAILS (Please refer guidelines overleaf)					
PAN* _____ Please enclose a duly attested copy of your PAN Card					
Name* (same as ID proof) _____					
Maiden Name* (if any) _____					
Father / Spouse Name* _____					
Date of Birth* _____					
Gender* <input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender					
Marital Status* <input type="checkbox"/> Single <input type="checkbox"/> Married					
Nationality* <input type="checkbox"/> Indian <input type="checkbox"/> Other _____					
Residential Status* <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian					
Please tick (✓) <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin*					
(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the Individual)					
Recent passport size Applicant Photo					
Cross Signature across photograph					
Proof of Identity (POI) submitted for PAN exempted cases (please tick)					
<input type="checkbox"/> A - Aadhaar Card XXXX XXXX _____					
<input type="checkbox"/> B - Passport Number _____ (Expiry Date) _____					
<input type="checkbox"/> C - Voter ID Card _____					
<input type="checkbox"/> D - Driving Licence _____ (Expiry Date) _____					
<input type="checkbox"/> E - NREGA Job Card _____					
<input type="checkbox"/> F - National Population Register Letter _____					
<input type="checkbox"/> Z - Others _____ (any document notified by Central Government)					
Identification Number _____					
2. Address Details* (Please refer guidelines overleaf)					
A. Correspondence/Local Address*					
Line 1* _____					
Line 2 _____					
Line 3 _____					
City/Town/Village* _____ District* _____ Pin Code* _____					
State* _____ Country* _____					
Address Type* <input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified					
				Applicant e-SIGN	
					

For Individuals

ANNEXURE – 3
TRADING ACCOUNT RELATED DETAILS

MANDATORY

BANK ACCOUNT(S) DETAILS																																	
No.	MICR No.								Bank Name, Branch Add.	A/c Type	Account No.												IFSC Code										
1																																	
2																																	
3																																	
4																																	
5																																	
Please provide Cancelled Cheque leaf for MICR & IFSC Code UPI Opt Flag <input type="checkbox"/> Opted <input type="checkbox"/> Not Opted																																	
DEPOSITORY ACCOUNT(S) DETAILS																																	
Sr. No.	Depository Participant Name									DP ID No.				BO ID				Depository Name															
1*	B R Jalan Securities Pvt Ltd									12018900								CDSL															
2																		NSDL/CDSL															
3																		NSDL/CDSL															
4																		NSDL/CDSL															
5																		NSDL/CDSL															
*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1																																	
TRADING PREFERENCES																																	
*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.																																	
Exchanges		NSE & BSE								NSE, BSE & MSEIL												NSE, BSE, MCX & NCDEX Commodity											
All Segments		Cash				F&O				Currency Derivatives				Mutual Fund																			
If you do not wish to trade in any of segments/Mutual Fund, please mention here _____.																																	
OTHER DETAILS																																	
1. Gross Annual Income details (please specify) : Income Range per annum <input type="checkbox"/> Upto Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/- <input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <input type="checkbox"/> Rs. 25,00,001/- to Rs. 1,00,00,000/- <input type="checkbox"/> More than Rs. 1,00,00,000/- Net worth as on Date: _____ OR Rs. _____ (Net worth should not be older than 1 year)																																	
2. Occupation (please tick any one and give brief details)								<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others																									
3. Please tick, if applicable								<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable																									
4. Any other information																																	
PAST ACTIONS																																	
Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:																																	
DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS																																	
If client is dealing through the sub-broker, provide the following details:																																	
Name												BSE SEBI Reg. No.																					
Regd. Off.												NSE SEBI Reg. No.																					
Address												Remisier/AP (BSE)																					
												Remisier/AP (NSE)																					
Signature						Tel. No.						Remisier/AP																					
Rem/						Fax No.						Remisier/AP																					
Sub Brk.						Website						Remisier/AP																					
Whether dealing with any other stock broker/sub-broker (if in case dealing with multiple stock brokers/sub-brokers, provide details of all)																																	
Name of Stock Broker						Name of Sub-Broker, if any								Client Code						Exchange													
Details of disputes/dues pending from/to such stock broker/sub-broker:																																	

ADDITIONAL DETAILS			
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):			<input type="checkbox"/> YES <input type="checkbox"/> NO
Specify your Email id, if applicable:			
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):			<input type="checkbox"/> YES <input type="checkbox"/> NO
Number of years of Investment/Trading Experience:			
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company/firm/others:			
Any other information			
Pursuant to SEBI Circular dt. 3.8.2018, w.e.f. 1.4.2019 Sub-Broker has been migrated to Authorised Person			
ADDITIONAL DETAILS			VOLUNTARY
Educational Qualification	<input type="checkbox"/> Under Graduate <input type="checkbox"/> Post Graduate		
Investment/Trading Experience	____ Years in Stocks ____ Years in Derivatives ____ Years in Commodities <input type="checkbox"/> No prior Experience		
Primary purpose of dealing	<input type="checkbox"/> Investment <input type="checkbox"/> Trading		
Stock Portfolio	<input type="checkbox"/> NIL <input type="checkbox"/> <5 Lacs <input type="checkbox"/> 5-20 Lacs <input type="checkbox"/> 20-50 Lacs <input type="checkbox"/> >50 Lacs		
INTRODUCER DETAILS (Optional)			
Name			
Add.			
Tel.		Signature of Introducer	<input checked="" type="checkbox"/>
Mobile No. belong to			
Status of the Introducer: <input type="checkbox"/> Sub Broker <input type="checkbox"/> Remisier/Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify_____			
DECLARATION			
<p>1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.</p> <p>2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.</p> <p>3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.</p> <p>4. I am hereby submitting self-certified Aadhar copy with my due consent for opening the above said account associated to my investment with B R Jalan Securities Pvt Ltd</p>			
Client Name			Signature First Holder's Signature
Auth. Person			
Place	Date		
FOR OFFICE USE ONLY			
UCC Code allotted to the Client:			
Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by	
Name	For B R Jalan Securities Pvt Ltd		
Signature			
Designation			
Employee Code	Authorised Signatory		
Date			
<p>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 my/our website, if any, for the information of the clients.</p> <p style="text-align: center;">For B R Jalan Securities Pvt Ltd</p> <p style="text-align: center;">Director/Authorised Signatory</p> <p>Date:_____ Signature of the Authorised Signatory Seal/Stamp of the stock broker</p>			

**RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS, AUTHORISED PERSONS AND CLIENTS
AS PRESCRIBED BY SEBI AND STOCK EXCHANGES**

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

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure

to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

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

26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
- 36A. Pursuant to SEBI circular SEBI/HO/MIRSD/DOP/P/CIR/2022/44 Dated April 04, 2022 - The stock broker/stock broker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute POA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

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

LAW AND JURISDICTION

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

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT
(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

Note: As per the provisions of NSE Circular No. NSE/Comp/50610 and BSE Circular No. 20211215-63 dated December 15th, 2021 D&B will implement to business continuity/DR plan as per the regulatory provisions as and when applicable.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:**1.1 Risk of Higher Volatility:**

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some

securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short

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

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

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

- 4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2** The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

ANNEXURE-6**MANDATORY****GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS****BEFORE YOU BEGIN TO TRADE**

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market

transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.



Signature of the Client _____

First Holder's Signature

POLICIES AND PROCEDURES (MANDATORY) OF B R JALAN SECURITIES PVT LTD

MANDATORY

a. Refusal of orders for penny stocks:

Although, the term 'Penny Stock' has not been defined by BSE / NSE / MSIE or any stock exchanges, SEBI a penny stock generally refers to a stock which has following mentioned characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid (A list of illiquid securities is jointly released by BSE / NSE / MSIE from time to time.)
B R Jalan Securities Pvt Ltd recognizes that it is client's privilege to choose shares in which he/she would like to trade. However, B R Jalan Securities Pvt Ltd like to have special attention to dealing in "Penny stocks". To this end,
- B R Jalan Securities Pvt Ltd may refuse to execute any clients orders in penny stocks without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny stocks" should be referred to Head - Dealing, such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny stock" doesn't result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny stock" doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in penny stocks at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of B R Jalan Securities Pvt Ltd
- In case of sale of penny stocks, client should ensure delivery of shares to B R Jalan Securities Pvt Ltd before the pay-in date.
- B R Jalan Securities Pvt Ltd reserves the right to refuse or restrict the execution of any transaction requests of the Client on certain stocks depending on various conditions like volume, value, illiquidity, even though a client may have credit balance or sufficient margin in the trading account or restrictions in Z group/T group or restrictions on ASM/GSM securities appearing in SMS list.

b. Setting up client's exposure limit:

- Exposure limit for each client is determined by the Risk management Department based on Net-worth information, client's financial capacity, prevailing market conditions and Margin deposited by client in the form of funds/securities with the B R Jalan Securities Pvt Ltd. These limits may be set exchange-wise, segment-wise, & scrip-wise.
- B R Jalan Securities Pvt Ltd retains the discretion to set and modify from time to time any clients exposure limit decided as above.
- The limits are determined by Risk Management Department based on the above criteria and payment history of the client in consultation with Sales/Sales trader.
- Whenever, any client has taken over or wants to take exposure in any security, B R Jalan Securities Pvt Ltd may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients are told to reduce the position immediately or requested to deposit extra margin to meet the shortfall. Otherwise, B R Jalan Securities Pvt Ltd may refuse to trade on behalf of such client in its own discretion.

c. Applicable brokerage rate:

- The applicable brokerage rate is mentioned in the Client registration form and any future change in the brokerage rate is communicated to the client & should be with clients consent.
- The maximum brokerage chargeable will not exceed as prescribed by SEBI and exchanges.

d. Imposition of penalty / delayed payment charges by either party, Specifying the rate and the period:

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on part of client in satisfying his/her margin obligation or settlement obligations, then, B R Jalan Securities Pvt Ltd shall levy interest at the rate of 12% p.a. on such shortage amount for the delayed period on such client. B R Jalan Securities Pvt Ltd shall recover such delayed payment charges from the client by debiting the client's account.
- No interest or charges will be paid by B R Jalan Securities Pvt Ltd to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

e. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non payment of client's Dues:

B R Jalan Securities Pvt Ltd shall have the sole discretion to square off the open position of the Client and/or sell clients' securities (including securities maintained as margin with B R Jalan Securities Pvt Ltd and securities lying in client's beneficiary/demat account) in case the Client fails to meet its settlement/margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by B R Jalan Securities Pvt Ltd. Further, the square off of client's open position or the selling of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by B R Jalan Securities Pvt Ltd. B R Jalan Securities Pvt Ltd shall have no obligation of communicating the same to the Client. B R Jalan Securities Pvt Ltd shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the Client due to such squaring off of the open position of the client.

B R Jalan Securities Pvt Ltd reserves the right to square off client's open positions or sell clients' securities under following circumstances:

- (i) Where the limits given to the Client have been breached.
 - (ii) Where the Client has defaulted on their existing obligation and/or had failed to make payments/deliver securities to B R Jalan Securities Pvt Ltd within the stipulated time period.
 - (iii) Where the margin or security placed by the Client with B R Jalan Securities Pvt Ltd falls short of the applicable minimum margin as may be required to be maintained by the client.
 - (iv) Where Mark to Market Loss on the open position has reached 80 % of the margins placed with B R Jalan Securities Pvt Ltd and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
 - (v) if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time.
- B R Jalan Securities Pvt Ltd shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

Square off policy:

- 1) Open positions in CM segment may be squared off on T+7 days in either of following circumstances to the extent of due debit and unsettled obligation amount if any;
 - Ledger Account is in debit for 5 continues days and payment is not realized by the T+6th day, or
 - Securities Remain unpaid on clear fund basis for T+7 days, or
 - Total asset cover (Including shares in BO POA account offered as collateral) to debit falls below 120% on real time basis)
- 2) Payment made to B R Jalan Securities Pvt Ltd will be recognized and credited on real time basis such payments made need to be informed to accounts department.
- 3) In case of square off, securities available in unpaid securities account/ client collateral account(s) may be sold proportionate to the outstanding amount or based on liquidity/ depth in market on a FIFO basis.
- 4) On the day of square off, Client will be put on square up mode/100% margin without collateral margin benefit. No fresh exposure will be allowed on square off days unless on receipt of clear funds.

Ledger balance for the purpose will be considered on the basis of realized balance excluding unclear cheque credit. However, management at their sole discretion may take any informed decision to deviate from the aforementioned policy in certain instances on a case to case basis.

f. Shortages in obligations arising out of internal netting of trades:

- To determine the net obligation of a broker / trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards clearing house may be nil but due to default by one or more clients in satisfying their obligations towards the broker, the broker internally might have shortages to fulfill its obligation towards the other client(s). In such situation, B R Jalan Securities Pvt Ltd shall endeavor to collect the securities from the selling client and deliver it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to deliver the securities within 48 hours, then B R Jalan Securities Pvt Ltd shall attempt to purchase the security from the market and deliver it to the purchasing client. If B R Jalan Securities Pvt Ltd is unable to obtain the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and same will be debited to the selling client.

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

B R Jalan Securities Pvt Ltd shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- If there is shortfall in the margin deposited by client with B R Jalan Securities Pvt Ltd.
- If there is insider trading restrictions on the client.
- If there are any unforeseen adverse market conditions or any natural calamities affecting the operation of market.
- If there are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If B R Jalan Securities Pvt Ltd has reached its limit in that scrip.
- If the clients has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the ban period.
- If due to abnormal shortfall in the market, if market are closed.

h. Temporarily suspending or closing a client's account based at the Client's request:

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, any further dealing in such client's account will be blocked. Whenever, any suspended account wants to resume trading, request in writing should be made to management and management may ask for updated financial information & other details for reactivating such account. After receiving necessary documents, details etc. and approval from the management, client is reactivated & is allowed to carry out transaction.
- Similarly, any client desirous of closing his/her account permanently is required to inform in writing and the decision in this regard is taken by management. After necessary approval from the management, the client code is deactivated. Only after scrutinizing the compliance requirements and "no pending queries" confirmation is taken, securities and funds accounts are settled.

i. Deregistering a Client

B R Jalan Securities Pvt Ltd may, in its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which B R Jalan Securities Pvt Ltd may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibiting entities or SEBI debarred list.
- Such client's account has been lying dormant for a long time or client is not traceable.
- Such client has declared insolvent or any legal proceedings to declare him/her as such have been intended.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of B R Jalan Securities Pvt Ltd or may act as detriment to B R Jalan Securities Pvt Ltd's prospects.

J. Inactive Client Account

Client account will be considered as inactive if the client does not execute a single trade during the period of 12 months from the last trade. In such cases, the client has to make a written request for reactivation of his trading account, with recent proofs and any upgradation in the KYC form.

Return of client assets:

- When a client is declared as inactive all the securities of the client are transferred to the demat account of the client. The funds belonging to the client shall be returned to the client. If for any reason the funds and securities of the client cannot be transferred to the client's bank account or demat account then the same shall be transferred into a separate account of the organization. The funds and securities shall be held in the separate account until the time the organization hears from the client or their representatives.

Any outstanding dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication.

I/We have fully understood the above and do hereby sign the same. These policies and procedures may be amended unilaterally by the broker, provided the amendment is informed to me / us and is preceded by a notice and consent is obtained from clients as per applicable laws, rules and regulations of exchange/SEBI. These policies and procedures shall always be read alongwith this client registration form and shall be referred to while deciding any dispute or claim between me / us and broker before any regulator or arbitrator or court of law.



(Signature of the constituent)

BROKERAGE AND STATUTORY CHARGES

Further, I agree to the following terms of doing business


Segment	Sq. off %		Sq. off Min (ps)		Settlement %		Settlement Min (ps)	Delivery %	Delivery Min (ps)
	Buy	Sell	Buy	Sell	Buy	Sell			
BSE Cash									
BSE F&O									
BSE Curr.									
BSE Comm.									
NSE Cash									
NSE F&O									
NSE Curr.									
NSE Comm.									
MSEIL Cash									
MSEIL Curr.									
MSEIL Comm.									
Mutual Fund									

The above given brokerage will be inclusive/exclusive of the following charges.

	BSE Cash	BSE F&O	BSE Currency	NSE Cash	NSE F&O	NSE Currency	MSEIL Cash	MSEIL Currency	Comm.	Mutual Fund
Transaction charges										
Sq. up Stamp Duty										
Del. Stamp Duty		N. A.	N. A.		N. A.	N. A.		N. A.	N. A.	N. A.
STT										
GST										
SEBI Fees										

	BSE Comm.	NSE Comm.								
Transaction charges										
Sq. up Stamp Duty										
Del. Stamp Duty	N. A.	N. A.								
STT										
GST										
SEBI Fees										

Note: 1. Inter settlement/DP transaction charges arising out of purchase/sell transactions effected by constituents will be debited to Constitute Account.
2. The above charges are subject to change by the regulatory authorities or Government agencies.

Signature of the Client 

RUNNING ACCOUNT AUTHORISATION

VOLUNTARY

Date: ____/____/____

Client Code: _____

Name: _____

To,

B R JALAN SECURITIES PVT LTD

903, 9th Floor, Marathon Icon, Marathon Nextgen Campus, Off. Ganpatrao Kadam Marg,

Veer Santaji Lane, Lower Parel (W), Mumbai - 400013

Dear Sir,

In order to facilitate operations of my/our trading account opened, I/We would like to authorise B R Jalan Securities Pvt Ltd (hereinafter referred as "BRJSPL") to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless/I/We instruct /revoke you otherwise.
2. I/We request you to settle my fund account as below: (Tick on appropriate option)
☐ **Monthly** ☐ **Quarterly**
3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
5. In case where I/ we and I have traded within 30 calender days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a BRJSPL may retain funds in the manner specified below:
 - i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
 - ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
 - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be at registered office.
8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.



Signature of Client/Authorized Signatory (in case of Nonindividual client)

ECN AUTHORISATION

VOLUNTARY

From: _____

Date: _____

To,
Dear Sirs,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Weekly Securities Statement, Weekly Ledger Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail

I/We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE/NSE with you, in terms of the agreement entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

- 1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
You can also send me/us my/our margin statement in digital form with contract notes.
- 2. I/We undertake to check the contract notes and bring the discrepancies to your notice. My/Our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
- 3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
- 4. Discrepancies, if any, should be sent on E-mail: brjcom@gmail.com
- 5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
- 6. The Digital contract notes will be archived at an quarterly interval. If the client intends to view the digital contract notes for a period prior to 90 days client may request for the same in writing.
- 7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI/Exchanges from time to time.
- 8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
- 9. Any changes in the terms and conditions shall be intimated from time to time.
- 10. Digital Contract Notes will also be available at our Web-site: www.brj.com
- 11. Any change in the E-mail ID shall be communicated by us/me through a physical letter.
- 12. Non receipt of bounced mail notification will amount to delivery of contract note.

You can send me various documents like Daily margin statement, Weekly Securities Statement, Weekly Ledger Statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____

My/Our Alternative E-mail ID _____

Yours faithfully,



First Holder's Signature

(Client Signature)

Client Code : (customer ID)

AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES

VOLUNTARY


To,
B R JALAN SECURITIES PVT LTD
903, 9th Floor, Marathon Icon, Marathon Nextgen Campus, Off. Ganpatrao Kadam Marg,
Veer Santaji Lane, Lower Parel (W), Mumbai - 400013
Dear Sirs,
This is to inform that

a. I/We have a beneficiary account with B R Jalan Securities Pvt Ltd (DP) & with client id

Bo Id	1	2	0	1	8	9	0	0		0	0					
-------	---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--

b. Further I/We have a trading account with B R Jalan Securities Pvt Ltd (trading code as mentioned below) for investment and trading purpose.
c. I/We find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I hereby authorize you to debit the trading account maintained with B R Jalan Securities Pvt Ltd for the debit charges payable to B R Jalan Securities Pvt Ltd on account of demat charges & other incidental charges related to my demat & trading account.
As Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

Yours faithfully,

Signature of Client _____
Name of the Client _____
Client Code: _____

ADDITIONAL RULES & REGULATION

VOLUNTARY

To,
B R JALAN SECURITIES PVT LTD
903, 9th Floor, Marathon Icon, Marathon Nextgen Campus, Off. Ganpatrao Kadam Marg,
Veer Santaji Lane, Lower Parel (W), Mumbai - 400013
Dear Sir,

Sub: Our dealings on the Capital Market Segment/Futures & Options Segment of the BSE/NSE.

With reference to the captioned subject I/We request you to kindly note the following points for smooth conduct of business operations:

- I/We shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes/to anyone else for the trades done on the BSE/NSE.
- All fines/penalties and charges levied on you due to my transactions/deeds/actions may be recovered by you from my accounts.
- Initial Margin is to be paid upfront. B R Jalan Securities Pvt Ltd can transfer balances between initial margin & mark to market margin.
- a) I/We hereby agree that all the financial transactions between me/us and you shall be through account payee cheque/demand draft/pay order and no cash transactions are permitted on either side. I/We hereby further agree that any claim of cash transaction by either party shall not be entertained by the other party.
b) I/We hereby agree not to issue third party cheques/demand drafts/pay order for my/our transactions with you.
- I/We hereby agree to give/take delivery of securities in demat mode from/to my/our own beneficiary account only. Further I/We agree not to deposit blank or unfilled delivery instructions with any of your offices.
- I/We hereby accord my/our consent to you to do transactions in my/our account based on Oral/Email/SMS instructions over phone as otherwise it is a time consuming affair and may lead to loss due to non-execution of the orders in time due to the formalities involved.
- I/We hereby agree to indemnify you fully for any losses arising out of the delivery transactions in the securities held by me/us or jointly with any other person/s.
- I/We agree to provide additional information, details, documents etc. pertaining to me/us required by NSE/ BSE, SEBI or any other statutory bodies from time to time.
- ERRORS AND OMISSIONS: I understand and agree that inadvertent errors may occur, while executing orders

VOLUNTARY

placed by me. In such circumstances B R Jalan Securities Pvt Ltd shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold B R Jalan Securities Pvt Ltd responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by B R Jalan Securities Pvt Ltd




- 10. NO MARKET MANIPULATION: I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, B R Jalan Securities Pvt Ltd has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.
- 11. NOT TO ACT AS UNREGISTERED SUB BROKER: I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients In case I wish to deal for other clients also, I undertake to apply to SEBI through B R Jalan Securities Pvt Ltd to obtain a sub broker registration. In case B R Jalan Securities Pvt Ltd perceives that I am acting as an unregistered sub broker, B R Jalan Securities Pvt Ltd has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to B R Jalan Securities Pvt Ltd without the requirement of any notice from B R Jalan Securities Pvt Ltd. Further, B R Jalan Securities Pvt Ltd has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify B R Jalan Securities Pvt Ltd from any loss/damage/claim arising out of such activity.
- 12. NOT DEBARRED BY ANY REGULATOR: I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform B R Jalan Securities Pvt Ltd, in writing, of any regulatory action taken by any Exchange or regulatory/statutory authority on me in future. In case I fail to inform the same and B R Jalan Securities Pvt Ltd on its own comes to know of such action, B R Jalan Securities Pvt Ltd has the right to suspend/close my trading account and refuse to deal with me. Also, B R Jalan Securities Pvt Ltd can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.
- 13. PMLA DECLARATION: I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by B R Jalan Securities Pvt Ltd officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that; a. I do not have any links with any known unlawful persons/institutions b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it.
- 14. INDEMNIFICATION: I hereby indemnify and hold B R Jalan Securities Pvt Ltd, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the B R Jalan Securities Pvt Ltd directly or indirectly, relating to bad delivery of shares/securities and/or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/operations on the Exchange(s) and/or proof of address, identity and other supporting/documents provided by me at the time of registration and/or subsequently.
- 15. INDEMNITY OF JOINT HOLDINGS: I hereby agree to indemnify and hold B R Jalan Securities Pvt Ltd harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

Thanking you,
Yours faithfully,  _____
Signature : _____ First Holder's Signature Date : _____
Name of Client : _____ Place : _____

DECLARATION FOR USING COMMON EMAIL ID & MOBILE NUMBER FOR TRADING & DEMAT A/C.

(Please tick (✓) wherever applicable)

1. As per SEBI Circular No. CIR/MIRSD/15/2011 dated August 02, 2011 investor will receive SMS & Email alerts on the given mobile no. & Email Id.
2. Valid Email Id & Mobile number is mandatory for all new as well as existing clients.
Reference: NSE circular no. NSE/ISC/47869 dated April 01, 2021, NSE/ISC/48165 dated May 3, 2021, BSE circular no. 20210401-53 dated April, 01, 2021, no. 20210503-41 dated May 3, 2021, CDSL Circular no. CDSL/OPS/DP/ POLCY/2021/152 dated April 05, 2021

	First Holder	Second Holder	Third Holder
Name of Account Holder			
Mobile Number			
Mobile Number belongs to (Family denotes Spouse Dependent Children and Dependent Parents only)	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent
Email ID			
Email id belongs to (Family denotes Spouse Dependent Children and Dependent Parents only)	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent
Signature of account holder			

(in case of demat account having joint holders, all holders need to sign)

Sharing of Data & Information

VOLUNTARY

1. I have opened a trading account with B R Jalan Securities Pvt Ltd having the captioned client code and demat account with B R Jalan Securities Pvt Ltd having the captioned client code and am interested in knowing about various financial products/facilities offered by your associate/group companies. I am aware that associate/group companies are required to obtain information about me and my transactions for providing various financial products/facilities.
2. I authorise you, your group companies and associates to keep me informed with any financial product which B R Jalan Securities Pvt Ltd, its group companies and associates presently issue, deal in, or distribute or may from time to time, launch, issue, deal in or distribute or may, from time to time launch, issue, deal in or distribute through e-mail, SMS, telephone, print media or otherwise as may be allowed.
3. I hereby voluntarily accept and expressly authorise B R Jalan Securities Pvt Ltd to get the information from B R Jalan Securities Pvt Ltd-DP; & vice versa or from any other Depository Participant of its group/associate companies with whom I have the Demat account and share/discard or use in any manner, the information/documents/data about me and our transactions with group of associates companies which is offering the products/facilities. Information provided by me in the Trading and Demat Account Opening Kit. Transaction cum holding statement with B R Jalan Securities Pvt Ltd-Dp and any other related information. My holdings in stocks/securities. Ledger balances in my Trading/Demat Account across all Exchanges/Depositories.
4. I authorise you to the extent appropriate for our relationship with you, personal information may be shared for the following purposes:
 - i. to comply with applicable laws, rules and regulations, including anti-terrorism, KYC, anti-money laundering and tax reporting rules and regulations.
 - ii. to comply with legal process, to respond to requests from public, regulatory or government authorities (including authorities outside your country of residency), and to allow us to pursue remedies and limit damage.
 - iii. to any of our associate/affiliate/group entities including our service providers performing delegated outsourced function to enable them to perform internal business process (which facilitate transactions) such as risk management purposes, data analysis, audits, developing and improving new products and services, etc.
 - iv. to any of our associate/affiliate/group entities to enable them to provide you with appropriate products and services, etc.
5. I have no objection to B R Jalan Securities Pvt Ltd sharing the above information or any such other information, about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and associates to so inform and you or they may in their discretion, discontinue sending such information.

Yours faithfully



First Holder's Signature

(Client Signature)

Request & Authority for Placement of Securities Collateral & Withdrawal

VOLUNTARY

To,

B R JALAN SECURITIES PVT LTD

903, 9th Floor, Marathon Icon, Marathon Nextgen Campus, Off. Ganpatrao Kadam Marg,
Veer Santaji Lane, Lower Parel (W), Mumbai - 400013

Dear Sir,

In order to facilitate operations and to abide by the statutory requirements as laid down from time to time, we wish to keep transferring the securities to your designated demat account from time to time as collaterals towards margin deposit for various Segments of the Exchanges for which you may please exempt me/us to give you separate individual instructions every time, Such collateral securities so transferred to your designated demat account and margin benefits be given to me/us accordingly.

I/we further confirm/ under take that;

- (i) The said Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- (ii) The said Securities will be subject to the creation of pledge in favour of or for the benefit of Clearing Corporation and further that the Securities over which pledge may be created in future would be in existence and owned by me/ us at the time of creation of such pledge and that the Said Securities to be given in future as security to Clearing Corporation would likewise be unencumbered, absolute and disposable property of me/ us.
- (iii) The Clearing Member is authorized to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary under this Deed of Pledge and the same shall be subject to terms and conditions as contained herein.
- (iv) I/We agree that the said Securities shall be subject to the first priority and lien in favour of Clearing Corporation to secure, the client's obligations and that the rights or interests of the client with respect to the said Securities shall be subject and subordinate to the rights, claims and interests of Clearing Corporation in respect of the said Securities.
- (v) NCL may invoke the pledge without any reference to or permission from me/us and upon receipt of the said Securities, Clearing Corporation may utilize the proceeds in meeting the my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against the Clearing/Trading Member and me/us.
- (vi) I/We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.
- (vii) I/We also request & authorize you to directly deliver such collateral securities to the Stock Exchanges/Clearing Corporation towards my/ our pay in/margin obligations without any reference to me/us.
- (viii) I/We further confirm that all the Demat Charges in this regard would be borne by me/us.
- (ix) I authorize you to liquidate these securities to recover any outstanding dues/margin requirement in my account.

Yours faithfully,







First Holder

Second Holder

Third Holder

Most Important Terms and Conditions (MITC)
(For non-custodial settled trading accounts)

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



Client Signature

Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
----------------	-----------	----------	-------------	-------------------------------------	--

at the time of account opening

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with B R Jalan Securities Pvt Ltd

For B R Jalan Securities Pvt Ltd

Director/Authorised Signatory

Acknowledgement to B R Jalan Securities Pvt Ltd

To,
B R Jalan Securities Pvt Ltd
903, 9th Floor, Marathon Icon, Marathon Nextgen Campus,
Opp. Ganpatrao Kadam Marg, Veer Santaji Lane,
Lower Parel (W), Mumbai - 400013.

Date: _____

I/We hereby confirm that I/We have read, understood, agreed and received a duly executed copy of the:

- Account Opening Form
- Trading Account related details and Tariff Sheet
- Rights & Obligations of Stock Brokers
- Internet & Wireless technology based trading facility provided by stock brokers to clients
- Risk Disclosure document for capital market and derivatives segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- Policies and procedures
- FATCA & CRS Terms and Conditions
- Other disclosure documents as agreed by me specifically in voluntary segment.

I/We am/are abiding by these terms & conditions. I/We reconfirm that I/We and stock broker shall refer any claim and/or disputes with respect to deposits, margin money etc. to arbitration as per the Rules, Byelaws and Regulation of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time.

I/We reconfirm that I/We and Stock Broker shall refer all claims, differences or disputes between us arising out of or in relation to dealings, contracts and transaction made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into Arbitration in accordance with the provisions of these Byelaws and Regulations.

Signature of Client: _____

Receipt of Physical Kit/ Electronic Kit

To,
B R Jalan Securities Pvt Ltd
Dear Sir,

I/We hereby acknowledge the receipt of below mentioned copy of Know your Client Form (KYC), Rights and Obligations, Internet & Wireless technology based trading facility provided by stock brokers to clients, Risk Disclosure Documents (RDD), Guide Note, Do's and Dont's, Policies and procedures, Tariff Sheet

Preference: ☐ Physical Kit ☐ Electronic Kit

Signature of Client: _____

INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable". BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper. Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & updation of the same in CDSL system. In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

CHECK-LIST → (All the documents must be self attested by applicant)

(A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

(B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. PAN card details of minor have to be entered in CDSL system.
In case of death of Guardian of existing Minor account holder:
In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:
i. Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
ii. The minor's account shall be frozen under the appropriate reason code till the new guardian has completed all formalities.
iii. Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
iv. The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
v. DP has to provide a copy of Rights and Obligations document to the new guardian and keep an acknowledgement of the same on record.
vi. The new guardian shall submit a fresh Nomination Form for the minor's account.
vii. After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
viii. The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
ix. POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.
After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects. The DP shall provide a copy of the Rights and Obligations document to the account holder and shall keep an acknowledgment of the same on record. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature. The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

(C) HUF

The documents to be obtained are:
a) The PAN details of the HUF entity would have to be entered in the CDSL system.
b) Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
c) DPs shall note the following while opening a HUF account:
• HUF accounts cannot be opened with joint holder(s). • HUF accounts cannot appoint a nominee. • In the account opening form, the Karta shall sign under the HUF stamp. • Account can be opened in the name of - Existing Karta / HUF entity • The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF). • In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.
Procedure to be adopted in the event of death of Karta is as follows:
• HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta. • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue.
Procedure to be followed in case of partition of HUF:
In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.
Procedure to be followed in case of POA being given for the HUF
The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

(D) NRI

a) In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
b) A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws. Change of status from NRI to Resident and vice versa:
It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

(E) Foreign Nationals

a) Documents – same as NRI. • b) If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

(F) Association of Persons (AOP)

a) Object of the association. b) Powers of the Managing Committee. c) Copy of the Bye Laws.

Additional KYC Form for Opening a Demat Account

For Individuals

B R JALAN SECURITIES PVT LTD

903, 9th Floor, Marathon Icon, Marathon Nextgen Campus, Off. Ganpatrao Kadam Marg,
Veer Santaji Lane, Lower Parel (W), Mumbai - 400013

(To be filled by the Depository Participant)

Application No.		Date														
DP Internal Reference No.																
DP ID	1	2	0	1	8	9	0	0	Client ID	0	0					

(To be filled by the applicant in **BLOCK LETTERS** in English)
I / We request you to open a demat account in my / our name as per the following details: -

Holders Details

Sole / First Holder's Name		PAN														
		UID	X	X	X	X	X	X	X	X						
Exchange Name & ID		UCC														
Second Holder's Name		PAN														
		UID	X	X	X	X	X	X	X	X						
Third Holder's Name		PAN														
		UID	X	X	X	X	X	X	X	X						

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.	

Type of Account	(Please tick whichever is applicable)			
Status	Sub - Status			
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Others (specify)	<input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI-Repatriable Promoter <input type="checkbox"/> Others (specify)	
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign - National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify)	

PAN & Aadhar seeding ☐ Yes ☐ No

Details of Guardian	(in case the account holder is minor)																	
Guardian's Name											PAN							
Relationship with the applicant																		

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 <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

I / We wish to receive dividend / interest directly in to 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
---	--

Bank Details (Dividend Bank Details)

MICR code starting with 000 will not be eligible for ECS.

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Cash Credit <input type="checkbox"/> Others (specify)								
Bank Name									
Branch Name									
Bank Branch Address									
City	State	Country			PIN				

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




OTHER DETAILS	
1. Gross Annual Income details (please specify): Income Range per annum	
<input type="checkbox"/> Upto Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/- <input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <input type="checkbox"/> Above Rs. 25,00,001/-	
Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)	
2. Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____
3. Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)
4. Any other information	

SMS Alert Facility	<input type="checkbox"/> Yes MOBILE NO. +91_____	<input type="checkbox"/> No
Refer to Terms & Conditions given as Annexure-2.4	[[Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	
easi	<input type="checkbox"/> Yes. To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> No

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

<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

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

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

(Signatures should be preferably in black ink).

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

DEMAT DEBIT AND PLEDGE INSTRUCTIONS (DDPI)		VOLUNTARY		
B R JALAN SECURITIES PVT LTD 903, 9th Floor, Marathon Icon, Marathon Nextgen Campus, Off. Ganpatrao Kadam Marg, Veer Santaji Lane, Lower Parel (W), Mumbai - 400013				
BO Name				
BO ID		12018900		
Client (UCC) Code				
Dear Sir/Madam, I/We, the undersigned Beneficial Owner(s), do hereby appoint B R Jalan Securities Pvt Ltd (BRJSPL) to exercise the following powers and authorises on my behalf.				
Sr. No.	Purpose	Signature of First/ Sole Holder	Signature of Second Holder	Signature of Third Holder
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.			
2.	Pledging/re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4.	Tendering shares in open offers through Stock Exchange platforms			
In connection with the instructions, BRJSPL, may debit or transfer securities for the purpose of delivering the same to the Clearing House of the respective Stock Exchange(s) directly or through BRJSPL's (Trading Member) Pool Account towards any segment in respect of securities sold by me/us through BRJSPL. BRJSPL may from time to time open such other demat accounts; in addition to the account numbers mentioned below; for the above purpose from time to time. In case of any change in the below account numbers, BRJSPL is authorised to transfer the securities to the new account number(s) with prior intimation to me/us. This authorization will continue to remain valid untill revoked in writing by me.				

Name of DP/CC	Account Type	Account No.
B R Jalan Securities Pvt Ltd	Pool Account	1201890000000355
B R Jalan Securities Pvt Ltd	Early Pay In Account	1100001000013325
B R Jalan Securities Pvt Ltd	Margin Pledge Account	1201890000033896
B R Jalan Securities Pvt Ltd	CUSPA Account	1201890000036139

I/We accept
For B R Jalan Securities Pvt Ltd

Director/Authorised Signatory

Place: _____ Date: ____/____/20____

If HUF, Co-parceners Name & Signature

1.	
2.	
3.	
4.	
5.	

NOMINATION FORM

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts – Extension of timelines and relaxations for existing account holders]
Form for Nomination (To be filled in by individual applying singly or jointly)

TM/DP		B R JALAN SECURITIES PVT LTD																											
Name & Address		903, Marathon Icon, Marathon Nextgen Campus, Veer Santaji Lane, Lower Parel (W), Mumbai - 400013												Nomination Registration No.				Dated											
Date	D	D	M	M	Y	Y	Y	Y	DP ID	1	2	0	1	8	9	0	0	Client ID	0	0									
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]																		UCC											
Nomination Details																													
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our death.																													

Nomination can be made upto three nominees in the account.	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1. First Name			
Middle Name			
Last Name			
2. Share of each Nominee	%	%	%
Equally (If not equally, please specify percentage)	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3. Relationship With the Applicant (If Any)			
4. Address of Nominee(s)			
City			
State			
Pin			
Country			
5. Mobile No./Tele. No. of nominee(s)			
6. E-mail ID of nominee(s)#			
7. Nominee Identification details [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature			
<input type="checkbox"/> PAN			
<input type="checkbox"/> Aadhaar			
<input type="checkbox"/> Saving Bank a/c. no.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID			

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

8. Date of Birth (in case of minor nominee(s))	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y						
9. Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																														

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at Marathon Futurex, A-Wing, 25th Floor, N.M. Joshi Marg, Lower Parel, Mumbai-400013 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

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



Sole / First Holder

Second holder

Third Holder

Fees:

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

Disclaimer:

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

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID

1	2	0	1	8	9	0	0		0	0					
---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder’s Name : _____

Second Holder’s Name : _____

Third Holder’s Name : _____

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 communication; if any, is to be sent)



Signatures

Sole / First Holder



Second holder



Third Holder

Place: _____

Date: _____

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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. Pursuant to SEBI circular SEBI/HO/MIRSD/DOP/P/CIR/2022/44 Dated April 04, 2022 - The stock broker/stock broker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute POA or DDPI.

Statement of account

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

Manner of Closure of Demat account

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

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

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

27. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
28. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
29. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
30. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and / or SEBI
31. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
32. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



Sole / First Holder



Second holder



Third Holder

Basic Services Demat Account

To,
B R JALAN SECURITIES PVT LTD
903, 9th Floor, Marathon Icon, Marathon Nextgen Campus, Off. Ganpatrao Kadam Marg,
Veer Santaji Lane, Lower Parel (W), Mumbai - 400013

Date: _____

Dear Sir/Madam,

☐ I/We wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form.

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

☐ I/We wish to avail the BSDA facility for my/our below mentioned demat account number:




☐ I/We do not wish to avail the BSDA facility for my/our below mentioned demat account number:

DP ID	1	2	0	1	8	9	0	0	Client ID	0	0	0					
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--

Name		PAN									
Sole/First Holder											
Second Holder											
Third Holder											

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

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

	Signature
Sole/First Holder	
Second Holder	
Third Holder	

- Eligibility for BSDA:**
- 1. Bo who has only one demat account where he/she is the sole or first holder.
 - 2. Bo does not have any other demat account/s where they are not the first holder OR single demat account where they are sole or first holder.
 - 3. Bo can have only one BSDA in his/her name across all depositories.
 - 4. Value of securities held in the demat account shall not exceed ₹ 2,00,000 at any time.

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

Received BSDA declaration form from:

DP ID	1	2	0	1	8	9	0	0	Client ID	0	0	0					
Name																	
Address																	

For B R Jalan Securities Pvt Ltd

Date: _____ (Authorised Signatory)

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

DP ID	1	2	0	1	8	9	0	0	Client ID	0	0						
Sole/First Holder																	
Second Holder																	
Third Holder																	

To,
B R JALAN SECURITIES PVT LTD
903, 9th Floor, Marathon Icon, Marathon Nextgen Campus, Off. Ganpatrao Kadam Marg,
Veer Santaji Lane, Lower Parel (W), Mumbai - 400013

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

☐ **OPTION 1:**
I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my/our CDSL account though I/we have issued a Power of Attorney (POA)/registered for eDis/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 Power of Attorney holder - Clearing Member /by PMS manager/for executing delivery instructions through eDIS.

Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

☐ **OPTION 2:**
I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a POA/ registered for eDis/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 Power of Attorney Holder - Clearing Member/by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

===== (Please Tear here) =====

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

DP ID	1	2	0	1	8	9	0	0	Client ID	0	0	0					
Name of Sole/First Holder																	
Name of Second Joint Holder																	
Name of Third Joint Holder																	

Date: _____ For B R JALAN SECURITIES PVT LTD

(Authorised Signatory)

903, 9th Floor, Marathon Icon, Marathon Nextgen Campus,
Opp. Ganpatrao Kadam Marg, Veer Santaji Lane, Lower Parel (W), Mumbai - 400013 • DP ID: 12018900

Sr. No.	Particulars	Schemes			
		Yearly Scheme (RSDA)	BSDA Scheme	BSDA 1 Scheme	Life Time No AMC
1.	Account Opening Charges	Nil	Nil	Nil	Nil
2.	Purchase Transaction Charges	Nil	Nil	Nil	Nil
3.	Account Maintenance Charges	250/- for Individual + Tax 1000/- Corporate + Tax	0	Rs. 100/- + Tax	Rs. 2000/- One time + Tax
4.	Demat	50/-	50/-	50/-	50/-
5.	Remat	12/- per 100 Securities Subject to minimum 50/-	12/- per 100 Securities Subject to minimum 50/-	12/- per 100 Securities Subject to minimum 50/-	12/- per 100 Securities Subject to minimum 50/-
6.	Transaction Charges (Sell)				
	a. Within BRJSPL pay-in	15/-	30/-	30/-	NIL
	b. Within Bo to Bo	30/-	30/-	30/-	30/-
	c. Outside BRJSPL Dp	30/-	30/-	30/-	30/-
	d. Failed Transaction	0	0	0	0
	Pledge/Unpledge/Conf	Pledge Rs. 20/- Unpledge Rs. 20/-	Pledge Rs. 20/- Unpledge Rs. 20/-	Pledge Rs. 20/- Unpledge Rs. 20/-	Pledge Rs. 20/- Unpledge Rs. 20/-
		Margin Pledge Rs. 10/- Unpledge Rs. 5/-	Margin Pledge Rs. 10/- Unpledge Rs. 5/-	Margin Pledge Rs. 10/- Unpledge Rs. 5/-	Margin Pledge Rs. 10/- Unpledge Rs. 5/-
	Other Charges	0	0	0	0
	DIS Issue	First book free & for every, additional Rs. 30/-	First book free & for every, additional Rs. 30/-	First book free & for every, additional Rs. 30/-	First book free & for every, additional Rs. 30/-
	Demat Rejection	30/-	30/-	30/-	30/-
	Extra Statement				
	Miscellaneous Charges				

1. GST, Education Cess and other statutory levies (if any) would be charges extra wherever applicable as per the prevailing rates.
2. POA Charges would be applicable as per actual
3. For availing 'Easiest' facility of CDSL the charges as levied by CDSL would be collected from client at actual .
4. CDSL levies Rematerialization charges as higher of the following:
 - i) A fee of 10/- for every 100 securities or part thereof; or
 - ii) A flat fee of Rs 10/- per certificate
5. Postal charges for rejection of Demat/Remat shall be charged on actual.
6. I/We hereby authorise 'B R JALAN SECURITIES PVT LTD' to debit all the Demat Account related charges to my/our BR JALAN SECURITIES PVT LTD.TradingAccount.

General Instruction:

1. In case of non exercise of option, yearly scheme shall be applicable.
2. Blank & Signed Delivery Instruction Slips should not be left with your DP/Broker.
3. All market instruction for transfer must be received atleast 24 hours before the execution date. Late instructions would Guide-lines. All off market Instructions would be accepted at the account holder's sole risk and responsibility.

FATCA-CRS

Annexure for Individual Accounts

(Individual Sole Proprietor) (Refer to instructions)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

First/Sole Applicant/Guardian

PAN

Client Code

Name

Gender

M

F

O

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Type of address given at KYC KRA

Residential & Business

Residential

Business

Regd. Off.

Permissible documents are

☐ Passport

☐ Election ID Card

☐ PAN Card

☐ Govt. ID Card

☐ Driving Licence

☐ UIDAI Card

☐ NREGA Job Card

☐ Others

Date of Birth

Place of Birth

Country of Birth

Nationality

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

Yes

No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

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

* To also include USA, where the individual is a citizen / green card holder of The USA

In case Tax identification Number is not available, kindly provide its functional equivalent \$

Second Applicant

PAN

Client Code

Name

Gender

M

F

O

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Type of address given at KYC KRA

Residential & Business

Residential

Business

Regd. Off.

Permissible documents are

☐ Passport

☐ Election ID Card

☐ PAN Card

☐ Govt. ID Card

☐ Driving Licence

☐ UIDAI Card

☐ NREGA Job Card

☐ Others

Date of Birth

Place of Birth

Country of Birth

Nationality

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

Yes

No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

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

* To also include USA, where the individual is a citizen / green card holder of The USA

In case Tax identification Number is not available, kindly provide its functional equivalent \$

50

	Third Applicant
--	------------------------

[illegible]

Gender	M	F	O
---------------	---	---	---

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Type of address given at KYC KRA	Residential & Business	Residential	Business	Regd. Off.
----------------------------------	------------------------	-------------	----------	------------

Permissible documents are ☐ Passport ☐ Election ID Card ☐ PAN Card ☐ Govt. ID Card ☐ Driving Licence
☐ UIDAI Card ☐ NREGA Job Card ☐ Others

[illegible][illegible][illegible]

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

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


*** To also include USA, where the individual is a citizen / green card holder of The USA**

In case Tax identification Number is not available, kindly provide its functional equivalent \$

Certification

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

Signatures



Third Applicant

PLACE _____

FATCA & CRS Terms & Conditions

Details under FATCA & CRS. The Central Board of Direct Taxes has notified Rulers 114F to 114H, as part of the Income-Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the propose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days.

Please note that you may receive more than one request for information. If you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or function equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA / CRS indicia
U.S. Place of Birth	<div>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</div> <div>2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below) AND</div> <div>3. Any one of the following documents:<div><div>• Certified Copy of “Certificate of Loss of Nationality”; or</div><div>• Reasonable explanation of why the customer does not have such a certificate despite renouncing citizenship; or</div><div>• Reason the customer did not obtain U.S. citizenship at birth</div></div></div>
Residence/ mailing address in a country other than India	<div>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident of any other country other than India; and</div> <div>2. Documentary evidence (refer list below)</div>
Telephone number in a country other than India	<div>If no Indian telephone number is provided</div> <div>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</div> <div>2. Documentary evidence (refer list below)</div> <div>If Indian telephone number is provided along with a foreign country telephone number</div> <div>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; or</div> <div>2. Documentary evidence (refer list below)</div>
Telephone number in a country other than India	<div>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</div> <div>2. Documentary evidence (refer list below)</div>

List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorised Government body *

2. Valid Identification issued by authorised Government body * (e.g., Passport, National Identity Card, etc.)

* **Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

Dos and Don'ts and best practices to be followed for CDSL demat account holders

In CDSL's endeavor towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form, following are the simple Dos and Don'ts and best practices to be followed by the investors to protect themselves from fraudulent practices.

- To register for CDSL's internet based facility 'easi' to monitor your demat account yourself:
Login to <https://web.cdslindia.com/myeasinew/Registration/EasiRegistration>
- Register for CDSL's SMS Alert facility - SMART and obtain alerts for any debits in your demat account.
- CDSL sends alerts to investors on their registered mobile number through SMS and e- mail for any modification done in their master details, debit in demat account, pledge creation, change in nominee etc.
- Pay attention to SMS's and emails regularly sent by CDSL. If you receive an SMS for a transaction not executed by you, inform your DP/CDSL immediately.
- Inform your DP of any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system.
- Protect your login details and do not share login credentials with anyone. Password should be unique. Keep strong and complex passwords and change the password at regular intervals.
- Do not share One Time Password (OTP) received from your DP/ CDSL. These are meant to be used by you only.
- Do not share login credentials of e-facilities provided by CDSL such as e-DIS, easiest etc. with anyone else.
- Do not download any unknown application on your phone / device. The application may access your confidential data secretly.
- Exercise the option to freeze the Demat account if not being used for long duration.
- Before granting Power of Attorney (PoA) to anyone, to operate your demat account, carefully examine the scope & implications of powers being granted.
- Ensure that, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
- Check your demat account statement on receipt. In case you notice any unauthorized debits or credits, contact us for clarification. If not resolved, you may lodge your complaint by visiting www.cdslindia.com > Post Your Grievances (<https://www.cdslindia.com/Footer/grievances.aspx>).

Annexure-A
Investor Charter – Stock Brokers

VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

MISSION

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep ‘protection of investors’ interest’ as goal while providing service.

Services provided to Investors

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client’s funds.
- Intimation of securities held in Client Unpaid Pledge Securities Account (CUPSA) Account.
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor’s grievances.

Rights of Investors

- Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- Receive complete information about the risks, obligations, and costs of any investment before investing.
- Receive recommendations consistent with your financial needs and investment objectives.
- Receive a copy of all completed account forms and agreements.
- Receive account statements that are accurate and understandable.
- Understand the terms and conditions of transactions you undertake.
- Access your funds in a timely manner and receive information about any restrictions or limitations on access.
- Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- Discuss your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

Various activities of Stock Brokers with timelines

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	10 days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	30 days / 90 days for running account settlement (RAS) as per the preference of client. If consent not given for RAS – within 24 hours of pay-out
10.	‘Statement of Accounts’ for Funds, Securities and Commodities	Weekly basis (Within four trading days of following week)

S.No.	Activities	Expected Timelines
11.	Issuance of retention statement of funds/ commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	30 days from the receipt of the complaint

DOs and DON'Ts for Investors

DOs	DON'Ts
<ol style="list-style-type: none"> 1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product/operational framework/timelines related to various Trading and Clearing & Settlement processes. 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions. 6. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI/Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted. 7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades. 8. Receive funds and securities/commodities on time within 24 hours from pay-out. 9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges. 10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (30 or 90 days). 11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines. 	<ol style="list-style-type: none"> 1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form. 4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system. 5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker. 6. Do not ignore any emails/SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed. 7. Do not opt for digital contracts, if not familiar with computers. 8. Do not share trading password. 9. Do not fall prey to fixed/guaranteed returns schemes. 10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/securities promising huge profits. 11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.

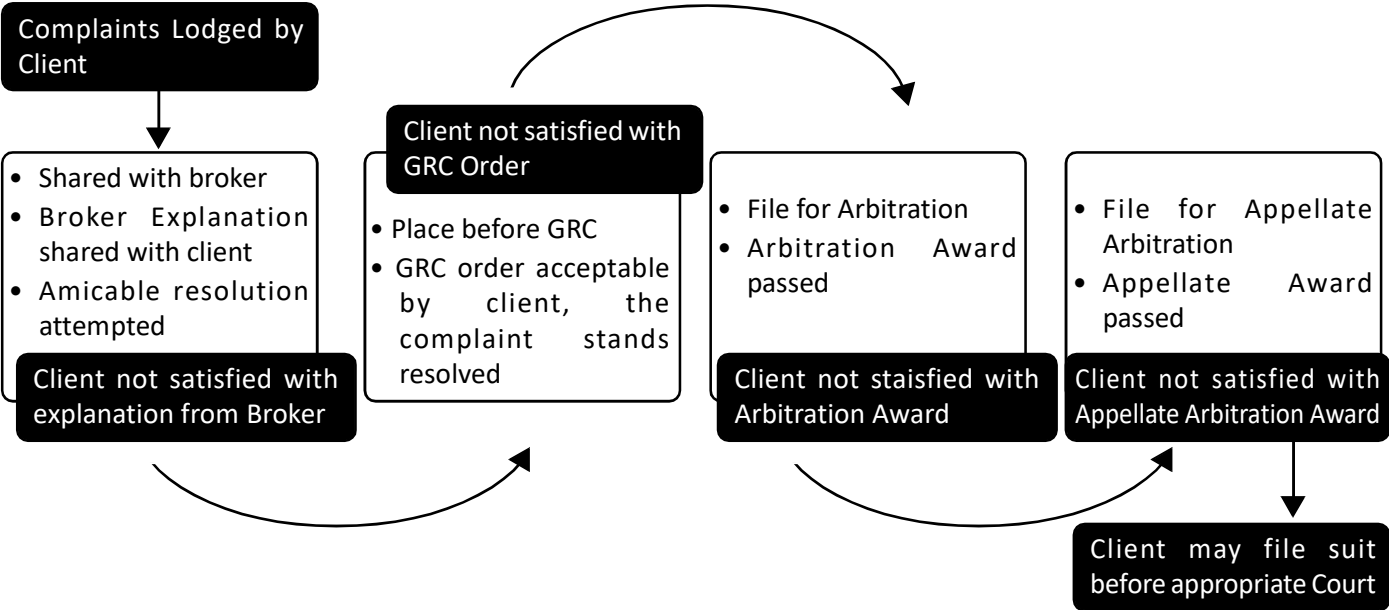
Grievance Redressal Mechanism

Level 1 – Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

Level 2 – Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

Level 3 – The complaint not redressed at Stock Broker/Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

Complaints Resolution Process at Stock Exchange explained graphically:



Timelines for complaint resolution process at Stock Exchanges against stock brokers

S.No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day)
2.	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3.	Registration of the complaint and forwarding to the stock broker.	C + 8 Working Days i.e. T day.
4.	Amicable Resolution.	T + 15 Working Days.
5.	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T + 16 Working Days.
6.	Complete resolution process post GRC.	T + 30 Working Days.
7.	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8.	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order
10.	If intention from stock broker is received and the GRC order amount is upto Rs. 20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF).The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12.	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

Handling of Investor’s claims/complaints in case of default of a Trading Member/Clearing Member (TM/CM)
Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors’ claims against Defaulter stock broker.
- Provision to check online status of client’s claim.

Annexure-A
Investor Charter for Depositories and Depository Participants

- 1. VISION**
Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.
- 2. MISSION**
- To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
 - To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
 - To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.
- 3. Details of business transacted by the Depository and Depository Participant (DP)**
A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [link to be provided by Depositories]
- 4. Description of services provided by the Depository through Depository Participants DP to investors**
- (1) Basic Services**

S.No.	Brief about the Activity/Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion Destatementization	5 days
4.	Re-conversion/Restatementisation of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	Depositories to accept physical DIS for pay-in of securities upto 4 p.m and DIS in electronic form upto 6 p.m on T+1 day

(2) Depositories provide special services like pledge, hypothecation, Internet based services etc. in addition to their core services and these include

S.No.	Type of Activity/Service	Brief about the Activity/Service
1.	Value Added Services	Depositories also provide value added services such as a. Basic Services Demat Account (BSDA) [link to be provided by Depositories] ¹ b. Transposition cum dematerilization [link to be provided by Depositories] ² c. Linkages with Clearing System [link to be provided by Depositories] ³ d. Distribution of cash and non-cash corporate benefits (Bonus, Rights IPOs etc.), stock lending, demat of NSC/KVP, demat of warehouse receipts etc.
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions)
3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:

S.No.	Type of Activity/Service	Brief about the Activity/Service
		a. E-account opening: Details available on the link [link to be provided by Depositories] ⁴ b. Online instructions for execution: Details available on the link [link to be provided by Depositories] ⁵ c. e-DIS/Demat Gateway: Details available on the link [link to be provided by Depositories] ⁶ d. e-CAS facility: Details available on the link [link to be provided by Depositories] ⁷ e. Miscellaneous services: Details available on the link [link to be provided by Depositories] ⁸

5. Details of Grievance Redressal Mechanism

(1) The Process of investor grievance redressal

1.	Investor Complaint/Grievance	Investor can lodge complaint/grievance against the Depository/DP in the following ways: a. Electronic mode - (i) SCORES (a web based centralized grievance redressal system of SEBI) [link to be provided by Depositories] (ii) Respective Depository's web portal dedicated for the filing of compliant [link to be provided by Depositories] (iii) Emails to designated email IDs of Depository [link to be provided by Depositories] b. Offline mode [details of link to the form to be provided by Depositories] The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days.
2.	Investor Grievance Redressal Committee of Depository	[link to be provided by Depositories] ⁹
3.	Arbitration proceedings	[link to be provided by Depositories] ¹⁰

(2) For the Multi-level complaint resolution mechanism available at the Depositories please refer to link [link to be provided by Depositories]"

6. Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant

S.No.	Type of special circumstances	Timelines for the Activity/Service
1.	<ul style="list-style-type: none"> Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges. Participant surrenders the participation by its own wish. 	Client will have a right to transfer all its 1 securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

7. Dos and Don'ts for Investors

For Do's and Don'ts please refer to the link [link to be provided by the Depositories]'2

8. Rights of investors

For rights please refer to the link [link to be provided by the Depositories]'3

9. Responsibilities of Investors For responsibilities please refer to the link [link to be provided by the Depositories]"

INFORMATION CONTAINED IN LINKS TO THE INVESTOR CHARTER FOR DEPOSITORIES AND DPS

This document contains the contents pertaining to the qualifier "[Link to be provided by Depositories! in the Investor Charter main document. The same is to be made available by the Depositories on their websites and web-links to the same is to be provided for incorporation in the Investor Charter.

For reasons of convenience, the contents in main Charter and this document have been mapped with the same superscript.

Para 4 (2) of Investor Charter

Point 2: Value Added Services

- a. Basic Services Demat Account (BSDA)¹: The facility of BSDA with limited services for eligible individuals was introduced with the objective of achieving wider financial inclusion and to encourage holding of demat accounts. No Annual Maintenance Charges (AMC) shall be levied, if the value of securities holding is upto Rs. 50,000. For value of holdings between Rs 50,001- 2,00,000, AMC not exceeding Rs 100 is chargeable. In case of debt securities, there are no AMC charges for holding value upto Rs 1,00,000 and a maximum of Rs 100 as AMC is chargeable for value of holdings between Rs 1,00,001 and Rs 2,00,000.
- b. Transposition cum dematerialization²: In case of transposition-cum-dematerialisation, client can get securities dematerialised in the same account if the names appearing on the certificates match with the names in which the account has been opened but are in a different order. The same may be done by submitting the security certificates along with the Transposition Form and Demat Request Form.
- c. Linkages with Clearing System³ for actual delivery of securities to the clearing system from the selling brokers and delivery of securities from the clearing system to the buying broker.

Point 3: Digitization of services provided by the depositories

- a. E-account opening⁴: Account opening through digital mode, popularly known as "On-line Account opening", wherein investor intending to open the demat account can visit DP website, fill in the required information, submit the required documents, conduct video IPV and demat account gets opened without visiting DPs office.
- b. Online instructions for executions: Internet-enabled services like Speed-e (NSDL) & Easiest (CDSL) empower a demat account holder in managing his/her securities 'anytime-anywhere' in an efficient and convenient manner and submit instructions online without the need to use paper. These facilities allows Beneficial Owner (BO) to submit transfer instructions and pledge instructions including margin pledge from their demat account. The instruction facilities are also available on mobile applications through android, windows and IOS platforms.
- c. e-DIS / Demat Gateway⁶: Investors can give instructions for transfer of securities through e-DIS apart from physical DIS. Here, for on-market transfer of securities, investors need to provide settlement number along with the IS1N and quantity of securities being authorized for transfer. Client shall be required to authorize each e-DIS valid for a single settlement number / settlement date, by way of OTP and PIN/password, both generated at Depositories end. Necessary risk containment measures are being adopted by Depositories in this regard.
- d. e-CAS facility⁷: Consolidated Account Statements are available online and could also be accessed through mobile app to facilitate the investors to view their holdings in demat form.
- e. Miscellaneous services⁸: Transaction alerts through SMS, e-locker facilities, chatbots for instantaneously responding to investor queries etc. have also been developed.

Para 5(1) of Investor Charter

Point 2 (Investor Grievance Redressal Committee of Depository)⁹

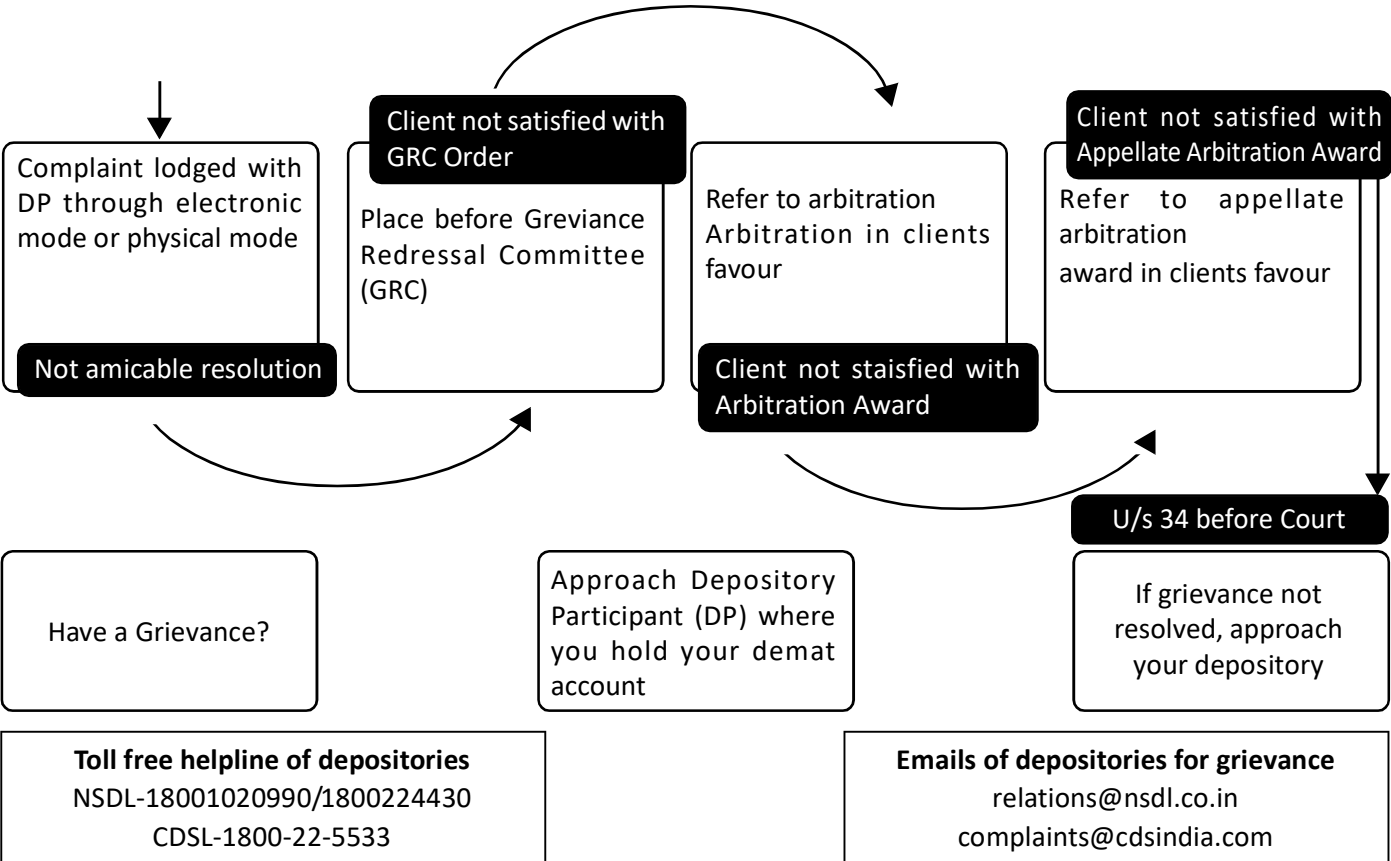
If no amicable resolution is arrived. then the Investor has the option to refer the complaint/ grievance to the Grievance Redressal Committee (GRC) of the Depository. Upon receipt of reference, the GRC will endeavor to resolve the complaint/ grievance by hearing the parties, and examining the necessary information and documents.

Point 3(Arbitration proceedings)^{1*}:

The Investor may also avail the arbitration mechanism set out in the Byelaws and Business Rules/Operating Instructions of the Depository in relation to any grievance, or dispute relating to depository services. The arbitration reference shall be concluded by way of issue of an arbitral award within 4 months from the date of appointment of arbitrator(s).

Para 5(2) of Investor Charter

Complaint Resolution process at Depositories



Investor Helpline Details of Depositories

Para 7 of Investor Charter
Dos and Don'ts for Investor¹²

S.No.	Guidance
1.	Always deal with a SEB1 registered Depository Participant for opening a demat account.
2.	Read all the documents carefully before signing them.
3.	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
4.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
5.	Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips. Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders. Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s). Do not leave your instruction slip book with anyone else. Do not sign blank DIS as it is equivalent to a bearer cheque.
6.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
7.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
8.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
9.	Do not share password of your online trading and demat account with anyone.
10.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.

S.No.	Guidance
11.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
12.	Demat is mandatory for any transfer of securities of Listed public limited companies with few exceptions.
13.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.gov.in/scores/Welcome.html
14.	Keep a record of documents signed, DIS issued and account statements received.
15.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
16.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
17.	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
18.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
19.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
20.	Beware of assured/fixed returns.

Para 8 of Investor Charter

Rights of investors¹³

- Receive a copy of KYC, copy of account opening documents.
- No minimum balance is required to be maintained in a demat account.
- No charges are payable for opening of demat accounts.
- If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI/Stock Exchanges. You have the right to revoke any authorization given at any time.
- You can open more than one demat account in the same name with single DP/ multiple DPs.
- Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
- Pledge and/or any other interest or encumbrance can be created on demat holdings.
- Right to give standing instructions with regard to the crediting of securities in demat account.
- Investor can exercise its right to freeze/defreeze his/her demat account or specific securities/specific quantity of securities in the account, maintained with the DP.
- In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.
- Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
- Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.

Para 9 of Investor Charter

Responsibilities of Investors¹⁴

- Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form/KYC form in own handwriting and cancel out the blanks.
- Read all documents and conditions being agreed before signing the account opening form.
- Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- Always mention the details like ISIN, number of securities accurately.
- Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- Regularly verify balances and demat statement and reconcile with trades/transactions.
- Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/securities promising huge profits.

Shri Ganpatya Namye

Shri Rani Sati Namye



SEBI Regn. No.: INZ 000199136 (BSE, NSE & MSEIL)
CDSL DP: SEBI Regn. No.: IN-DP-CDSL-94-2015
CIN: U67120MH1997PTC108736

CLIENT REGISTRATION FORM

INDIVIDUAL • HUF • CORPORATE • PARTNERSHIP FIRM • OTHER

CLIENT NAME: _____

CLIENT CODE: _____ **BRANCH:** _____

DEMAT A/C NO.: _____

Regd. Office: 903, 9th Floor, Marathon Icon, Marathon Nextgen Campus,
Off. Ganpatrao Kadam Marg, Veer Santaji Lane, Lower Parel (W), Mumbai - 400013.
Tel.: 022 66159739, 41208430, 66159738 • Email: brjalan@hotmail.com
Corporate Office: 271/273 Mumbadevi Road, 4th Floor, Mumbai - 400 002.
E-mail: brjalan@hotmail.com • Website: www.brjalan.com