



INDIVIDUAL



**Jainam Broking Limited**

Jainam House, New Passport Office Road, Piplod, Surat - 395007

Contact: +91 261 6725555, 2305555 E-mail: corp@jainam.in Web: www.jainam.in  
, MSEI

Member: BSE, NSE, MCX, NCDEX, CDSL

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### SEBI Registration Details

Segment	Registration Number	Date
Stock Broking	INZ000198735	11th September 2018
Depository Participant	IN-DP-CDSL-223-2016	8th March 2016

**Know Your Client (KYC)**  
**Application Form (For Individuals Only)**



**Jainam Broking Limited**  
FIRST/SOLE HOLDER

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: \_\_\_\_\_

Application Type\*:  New KYC  Modification KYC

**KYC Mode\*:** Please Tick (✓)

Normal  EKYC OTP  EKYC Biometric  Online KYC  Offline EKYC  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) \_\_\_\_\_

Fathers/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\*  Male  Female  Transgender

Marital Status\*  Single  Married

Nationality\*  Indian  Other \_\_\_\_\_

Residential Status\*  Resident Individual  Non Resident Indian

Please Tick (✓)  Foreign National  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)



Cross Signature across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

- A — Aadhaar Card XXXX XXXX \_\_\_\_ (Expiry Date) \_\_\_\_\_
- B — Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- C — Voter ID Card \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- D — Driving License \_\_\_\_\_
- E — NREGA Job Card \_\_\_\_\_
- F — NPR \_\_\_\_\_
- 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\*  Residential/Business  Residential  Business  Registered Office  Unspecified

Applicant e-SIGN

**B. Permanent residence address of applicant, if different from above A / Overseas Address\* (Mandatory for NRI Applicant)**

Line 1\* \_\_\_\_\_  
 Line 2 \_\_\_\_\_  
 Line3 \_\_\_\_\_  
 City/  
 Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_  
 State\* \_\_\_\_\_ Country\* \_\_\_\_\_  
 Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

**Proof of Address\*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX \_\_\_\_ \_  
 B — Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_  
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 D — Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_  
 E — NREGA Job Card \_\_\_\_\_  
 F — NPR Letter \_\_\_\_\_  
 Z—Others \_\_\_\_\_ (any document notified by Central Government)  
 Identification Number \_\_\_\_\_

**3. Contact Details (in CAPITAL)**

Email ID\* \_\_\_\_\_  
 Mobile No. \* \_\_\_\_\_  
 Tel (off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

<p>I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.</p> <p>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.</p> <p>I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.</p> <p>DATE: _____ (DD-MM-YYYY)          PLACE: _____</p>	Applicant e-SIGN	Applicant Wet Signature

**5. For Office Use Only**

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : _____
Employee Signature and Stamp	Institution Name and Stamp

**Know Your Client (KYC)**  
**Application Form (For Individuals Only)**



**Jainam Broking Limited**  
**SECOND HOLDER**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

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Application Number: \_\_\_\_\_

Application Type\*:  New KYC  Modification KYC

**KYC Mode\*:** Please Tick (✓)

Normal  EKYC OTP  EKYC Biometric  Online KYC  Offline EKYC  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) \_\_\_\_\_

Fathers/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\*  Male  Female  Transgender

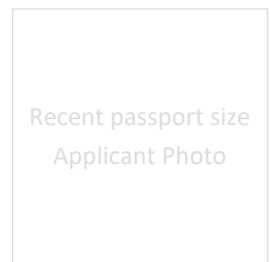
Marital Status\*  Single  Married

Nationality\*  Indian  Other \_\_\_\_\_

Residential Status\*  Resident Individual  Non Resident Indian

Please Tick (✓)  Foreign National  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)



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Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

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City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

Applicant e-SIGN

**B. Permanent residence address of applicant, if different from above A / Overseas Address\* (Mandatory for NRI Applicant)**

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 Line3 \_\_\_\_\_  
 City/  
 Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_  
 State\* \_\_\_\_\_ Country\* \_\_\_\_\_  
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**Proof of Address\*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

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 F — NPR Letter      \_\_\_\_\_  
 Z—Others      \_\_\_\_\_ (any document notified by Central Government)  
 Identification Number      \_\_\_\_\_

**3. Contact Details (in CAPITAL)**

Email ID\* \_\_\_\_\_  
 Mobile No. \* \_\_\_\_\_  
 Tel (off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

<p>I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.</p> <p>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.</p> <p>I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.</p> <p>DATE: _____ (DD-MM-YYYY)          PLACE: _____</p>	Applicant e-SIGN	Applicant Wet Signature

**5. For Office Use Only**

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Employee Signature and Stamp	Institution Name and Stamp

**Know Your Client (KYC)**  
**Application Form (For Individuals Only)**



**Jainam Broking Limited**  
THIRD HOLDER

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Date of Birth\* \_\_\_\_\_

Gender\*  Male  Female  Transgender

Marital Status\*  Single  Married

Nationality\*  Indian  Other \_\_\_\_\_

Residential Status\*  Resident Individual  Non Resident Indian

Please Tick (✓)  Foreign National  Person of Indian Origin+

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State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

	Applicant e-SIGN

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 Line 2 \_\_\_\_\_  
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 Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_  
 State\* \_\_\_\_\_ Country\* \_\_\_\_\_  
 Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

**Proof of Address\*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

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 D — Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_  
 E — NREGA Job Card \_\_\_\_\_  
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**3. Contact Details (in CAPITAL)**

Email ID\* \_\_\_\_\_  
 Mobile No. \* \_\_\_\_\_  
 Tel (off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

<p>I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.</p> <p>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.</p> <p>I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.</p> <p>DATE: _____ (DD-MM-YYYY)          PLACE: _____</p>	Applicant e-SIGN	Applicant Wet Signature

**5. For Office Use Only**

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IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : _____
Employee Signature and Stamp	Institution Name and Stamp



## PART - B

Income Range (per annum) <i>(Tick Whichever is Applicable)</i>	<input type="radio"/> Upto C 1,00,000/-	<input type="radio"/> C 1,00,001/- to C 5,00,000/-
	<input type="radio"/> C 5,00,001/- to C 10,00,000/-	<input type="radio"/> C 10,00,001/- to C 25,00,000/-
	<input type="radio"/> C 25,00,001/- to C 100,00,000/-	<input type="radio"/> Above C 100,00,000/-
Networth <i>(Not Older than 1 Month)</i>	C	as on
	D	D
	-	M
	M	-
	2	0
	Y	Y

### BANK DETAILS

Bank Name	Branch
Address	
Account Type <input type="radio"/> Saving <input type="radio"/> Current <input type="radio"/> Other	MICR Code (9 digit)
Account No.	IFSC Code (11 digit)

### EQUITY DEMAT DETAILS

No.	Def.	DP Name	DP ID / Client ID

### COMMODITY DEMAT DETAILS

CP	CP Name	CP ID / Client ID
NERL		
COMRIS		

### COMMUNICATION MODE

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

Contract Note / Margin Statement / Ledgers / Bills Delivery Mode	<input type="radio"/> Physical <input type="radio"/> Electronic
If Electronic mode, provide E-mail ID	As mentioned in KYC Basic Details Form

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

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

### UNIQUE MOBILE NUMBER & E-MAIL ID

Pursuant to SEBI circular bearing Ref.: CIR/MIRSD/15/2011 dated August 2, 2011, please note that the mobile number and e-mail ID mentioned by me in the KYC form belongs to my family member, details of which are as follows:

	Relation of Family Member	PAN of Family Member
Mobile Number:	Self / Spouse / Son / Daughter / Father / Mother	P
E-mail ID:	Self / Spouse / Son / Daughter / Father / Mother	P

However I have no objection whatsoever in you sending all the necessary information, intimations etc. related to my demat / trading account to this mobile number.

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

Nomination Required	<input type="radio"/> Yes	<input type="radio"/> No
---------------------	---------------------------	--------------------------

**INTRODUCER / SUB BROKER DETAILS**

Signature															
Status / Code	<input type="radio"/> Channel Partner	<input type="radio"/> Employee	<input type="radio"/> Trading	<input type="radio"/> DP (12041500)											
Name	FIRST			MIDDLE				LAST							
Address	<hr/> <hr/> <hr/>														
City						State				PIN					
Country	India	Mobile No.											E-Mail ID		

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

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

**PAST ACTIONS**

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

**ANY OTHER INFORMATION**

<hr/> <hr/>											
-------------	--	--	--	--	--	--	--	--	--	--	--

**CLIENT CATEGORISATION**

Commercial	<input type="radio"/> Bullion	<input type="radio"/> Base Metals	<input type="radio"/> Energy	<input type="radio"/> Agri-Commodities	<input type="radio"/> Not Applicable
Non Commercial	<input type="radio"/> Bullion	<input type="radio"/> Base Metals	<input type="radio"/> Energy	<input type="radio"/> Agri-Commodities	<input type="radio"/> Not Applicable

*Note: With a view to understand the extent of involvement of the physical market participants and to identify the nature of participants in the Commodities Derivative Market, Members of the Exchange are required to Categorize the identified Clients under one of the following category:*





**Commercial Client** includes Value Chain / Physical market participant / exporter / importer / having direct / indirect exposure to the underlying Commodity

**Non Commercial Client** includes Trader/ Arbitrageur

**N.A.:** Not Applicable (Client not dealing in the product)

## CHOICE OF TRADING PLATFORM

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

Segment	Signature of Client
Equity / MF (BSE / NSE)	 3(a) / 17
Equity Derivatives (BSE / NSE)	 3(b) / 17
Currency Derivatives (BSE / NSE)	 3(c) / 17
Commodity Derivatives* (BSE / NSE / MCX / NCDEX)	 3(d) / 17

* Date of Consent	MCX	D	D	-	M	M	-	2	0	Y	Y	NCDEX	D	D	-	M	M	-	2	0	Y	Y
-------------------	-----	---	---	---	---	---	---	---	---	---	---	-------	---	---	---	---	---	---	---	---	---	---

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

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

## DECLARATION

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

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

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

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



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## NOTING FOR THE CLIENTS

Pursuant to SEBI Circular # SEBI/MRD/SE/Cir-42/2003 dated 10th November 2003, **Jainam Broking Limited** informs all its client that they shall be doing proprietary trading in addition to clientele business.

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

## DIS OPTION (Please select any one)

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



5 / 17

(Signature of First / Sole Holder)



3 / 9

(Signature of Second Holder)



3 / 9

(Signature of Third Holder)

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



5 / 17

(Signature of First / Sole Holder)



3 / 9

(Signature of Second Holder)



3 / 9

(Signature of Third Holder)

## TARIFF SHEET (TRADING)

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

### OTHER CHARGES

One time Account Opening Charge (amount not exceeding C 500/-) shall be charged

The above charges are exclusive of statutory levies like GST, Stamp Duty, Securities / Commodity Transaction Tax, Exchange Transaction Charges, SEBI Turnover Fees & Clearing Charges which shall be charged additionally.

Scripwise Delivery Handling Charges on Sale Transactions (amount not exceeding C 5/- per scrip) shall be levied.

Minimum Contract Charges (amount not exceeding C 25/-) (inclusive of brokerage only) per contract shall be levied.

Demat Charges per scrip shall be levied for transfer of securities from / to Broker's Beneficiary / Margin Account.

If you have opted for electronic mode of communication, any type of physical or hand copies of contract notes, ledger, holding statements etc. (amount not exceeding C 5/- per page) in addition to courier charged shall be charged additionally.

All bills (segment wise) shall be rounded off to the nearest rupee.

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

### GST DETAILS

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



6 / 17

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

Date: 

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

Place: 

Surat
-------



For **Jainam Broking Limited**

\_\_\_\_\_  
(Authorized Signatory)

**INVESTOR'S GRIEVANCE CONTACT DETAILS***Details of Compliance Officer & CEO*

Name	Designation	Contact No.	E-mail ID
Mr. Om Prakash Singh	Compliance Officer	+91 - 261 - 6725545	omprakash.singh@jainam.in

*For any grievance / dispute, please contact us at the registered / corporate office address of the company or e-mail on [customercare@jainam.in](mailto:customercare@jainam.in) or call on **91-261-6725555 / 2305555***

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

Authority	Tel	E-mail ID
BSE	+91-22-22728097	is@bseindia.com
NSE	+91-22-26598190	ignse@nse.co.in
MSEI	+91-22-67318933 / 67319000	investorcomplaints@msei.com
MCX	+91-22-67318888	grievance@mcxindia.com
NCDEX	+91-22-66406789	askus@ncdex.com
CDSL	+91-22-22723333	complaints@cdslindia.com



# Demat Section



**TYPE OF ACCOUNT** (Please tick whichever is applicable)

Status	Sub-Status		
Individual	<input checked="" type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Individual Director
	<input type="checkbox"/> Individual Director's Relative	<input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	

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

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

I / We would like to instruct the DP to accept all the re-pledge instructions in my / our account without any other further instruction from my / our end.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
I / We would like to share the E-mail ID with the RTA	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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

I / We would like to receive the Annual Report	<input checked="" type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both Physical & Electronic
--	---

**SMS ALERT FACILITY** (Refer to Terms & Conditions - Annexure 2.4)

I / We wish to avail the SMS alert facility (Mandatory, if you are giving Power of Attorney (POA))	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Mobile	As mentioned in KYC Basic Details Form	

**TRANSACTIONS USING SECURED TEXTING FACILITY (TRUST)** (Refer to Terms & Conditions - Annexure 2.6)

I / We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I / We have read and understood the Terms and Conditions prescribed by CDSL for the same	<input type="checkbox"/> Yes	<input type="checkbox"/> No
---	------------------------------	-----------------------------

If Yes, please register the following Clearing Member ID's under my / our below mentioned BO ID registered for TRUST

Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

Easi Facility (To register for easi, please visit CDSL website <a href="http://www.cdslindia.com">www.cdslindia.com</a> or contact your DP for details)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
---	------------------------------	--

**NOMINATION DETAILS**

(If yes, please fill the multiple nomination form)

Multiple Nomination facility required	<input type="checkbox"/> Yes	<input type="checkbox"/> No
---------------------------------------	------------------------------	-----------------------------

**DECLARATION FORM FOR OPTING OUT OF NOMINATION**

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.



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(Signature of First / Sole Holder)



4 / 9

(Signature of Second Holder)



4 / 9

(Signature of Third Holder)

## I REQUEST TO ADD FOLLOWING UNIQUE CLIENT CODE (UCC)

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

## DP TARIFF SHEET

Services	Scheme Name					
	<input type="radio"/> Investor	<input type="radio"/> Trader	<input type="radio"/> Lifetime	<input type="radio"/> Deposit	<input type="radio"/> IPO	
	<input type="radio"/> BSDA					
Deposit	-	-	-	C2000/-	-	
One time Maintenance Charges	-	-	C900/-	-	-	
Annual Maintenance Charges	C200/-	C600/-	-	-	-	
Receipts (Market & Off Market)	Nil					
Delivery (Debit) per transaction	To Jainam Pool with Auto Payin	C10/-	Nil	C10/-	C10/-	C25/-
	To Jainam Pool without Auto Payin	C 12/-				C25/-
	To Other Pool & Off Market	0.01% Min. C 15/-				
Pledge Creation, Closure & Invocation	<input type="radio"/> 25/- per request					
Dematerialization	<input type="radio"/> 100/- per DRF & <input type="radio"/> 10/- per certificate					
Rematerialization	As per CDSL Actuals					
Margin Pledge Creation & Unpledge Request	As per CDSL Actuals					
Pledge Creation & Unpledge for MTF	As per CDSL Actuals					

The above charges are exclusive of GST and other levies levied by Government bodies / statutory authorities from time to time.

The above charges are based on existing CDSL charges and is subject to change at the sole discretion of Jainam Broking Limited with intimation to client of not less than 30 days.

Deposit shall be interest free & refundable on the closure of account (minimum period of 1 year.)

Value of the transaction will be in accordance with the rates provided by CDSL.

All charges (except AMC) will be payable monthly. Charges quoted above are for the services listed. Any service not quoted above will be charges separately.

All documents like holding, transaction, ledger statements etc. shall be electronically mailed to the e-mail ID of the client. Any copy in physical form shall be charged extra per page in addition to the postal charges.

All instruction for the transfer must be received at Corporate Office (Surat) at least 24 hours before the execution date.

## DECLARATION

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



8 / 17

(Signature of First / Sole Holder)



5 / 9

(Signature of Second Holder)



5 / 9

(Signature of Third Holder)



## POWER OF ATTORNEY

(Individual)



**Jainam Broking Limited**

Jainam House, New Passport Office Road, Piplod, Surat - 395007  
Contact: +91 261 6725555, 2305555 E-mail: corp@jainam.in Web: www.jainam.in  
Member: BSE, NSE, MCX, NCDEX, CDSL, MSEI



# Stock Holding Corporation of India Limited

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

CIN : U67190MH1986PLC040506 Visit us at : www.shcilestamp.com

VER 5.1 130315

## e-Stamping Application Form

Application Date	/ /20	<input checked="" type="checkbox"/> Tick any one	<input type="checkbox"/> Registerable	<input checked="" type="checkbox"/> Non-Registerable	
Document Description	Power of Attorney	Stamp Duty Amount C 10/-	Document Description	Demat Debit and Pledge Instruction	Stamp Duty Amount C 10/-

### Property Description (not exceeding 100 characters)

Power of Attorney in favour of Jainam Broking Limited		
Consideration of Property	₹ NIL	

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

Name	Jainam Broking Limited																		
Address	Shop No. 5/222/G4, Khatiba Shopping Center, Near DMC Market, Moti Daman.																		
Phone	+91-261-2305555	PAN	A	A	B	C	J	3	9	1	8	N	PIN	3	9	6	2	2	0

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

Name																				
Address																				
Phone		PAN																		

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

Stamp Duty Purchased by	Jainam Broking Limited																	
Stamp Duty Paid by <input checked="" type="checkbox"/> Tick	<input checked="" type="checkbox"/> 1st Party	<input type="checkbox"/> 2nd Party	Type of Payment	<input type="checkbox"/> Cash	<input type="checkbox"/> Cheque	<input type="checkbox"/> DD	<input type="checkbox"/> Pay-Order	<input type="checkbox"/> NEFT	<input type="checkbox"/> RTGS	<input checked="" type="checkbox"/> Account to Account Transfer								
Stamp Duty Paid by - Gender <input checked="" type="checkbox"/> Tick	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Jointly paid by Male & Female	<input checked="" type="checkbox"/> Others														
Cheque / DD / Pay-Order / NEFT / RTGS / Account Details										Cash Deposit								
Bank Name	Branch Name	Cheque / DD / PO / UTR / REF / Account No.			Deno.	Pieces	₹											
					2000 X													
					500 X													
					100 X													
					50 X													
					20 X													
					10 X													
					5 X													
Rupees (in words):					2 X													
					1 X													
					Total													

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

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

Name of the Party/Representative:



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(For Office use only)

I verify that the Application Form is in order

To be filled by USER

To be filled by SUPERVISOR

SUBIN	Certificate Number	IN
Signature	Signature	
Stamp Certificate received by	Name:	Signature:

### StockHolding e-Stamping

### Receipt

(To be filled in by the client)

Stamp Duty Purchased By	Jainam Broking Limited	Stamp Duty Paid by	<input checked="" type="checkbox"/> 1st Party	<input type="checkbox"/> 2nd Party					
Stamp Duty Amount	C20/-	Type of Payment	<input type="checkbox"/> Cash	<input type="checkbox"/> Cheque	<input type="checkbox"/> DD	<input type="checkbox"/> Pay-Order	<input type="checkbox"/> NEFT	<input type="checkbox"/> RTGS	<input checked="" type="checkbox"/> Account to Account Transfer
Cheque/ DD/ PO/ UTR/ REF/Account No.						Date: / /20			
Bank Name				Branch Name					
Counter Signature with Seal									

## DEMAT DEBIT AND PLEDGE INSTRUCTION

Voluntary Requirement

To all to whom these presents shall come, we,

1) Mr. / Mrs. / Ms. \_\_\_\_\_ an individual having his / her residence address at \_\_\_\_\_  
 \_\_\_\_\_ (hereinafter called 'the First / Sole Holder')

2) Mr. / Mrs. / Ms. \_\_\_\_\_ an individual having his / her residence address at \_\_\_\_\_  
 \_\_\_\_\_ (hereinafter called 'the Second Holder')

3) Mr. / Mrs. / Ms. \_\_\_\_\_ an individual having his / her residence address at \_\_\_\_\_  
 \_\_\_\_\_ (hereinafter called 'the Third Holder')

all Indian inhabitant(s) send greetings from \_\_\_\_\_ on this \_\_\_\_ day of \_\_\_\_\_, 20\_\_.


### WHEREAS

I / We hold a beneficiary account # 12041500 \_\_\_\_\_ with Central Depository Services (India) Limited., through its Depository Participant, **Jainam Broking Limited**, a corporate body incorporated under The Companies Act, 1956 and having DP-ID **041500** (hereinafter referred to as 'the Depository Participant'). With SEBI under Registration No. **IN-DP-CDSL-223-2016**.

I / We am / are in investor engaged in buying and selling of securities through **Jainam Broking Limited**, a corporate body incorporated under The Companies Act, 1956 and having its registered / corporate office in Gujarat and processing office at Silvassa / Daman (hereinafter referred to as 'the stock broker') having trading / clearing membership under various segments of **Bombay Stock Exchange Limited (BSE)**, **National Stock Exchange (NSE)**, **National Commodity and Derivatives Exchange (NCDEX)** and **Multi Commodity Exchange of India (MCX)** (hereinafter referred to as 'the Stock Exchanges / Exchanges') who is a Stock Broker Registered with SEBI under registration no. **INZ000198735**.


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


 \_\_\_\_\_ 10 / 17  
 (Signature of First / Sole Holder)

 \_\_\_\_\_ 6 / 9  
 (Signature of Second Holder)

 \_\_\_\_\_ 6 / 9  
 (Signature of Third Holder)

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.


 \_\_\_\_\_ 11 / 17  
 (Signature of First / Sole Holder)

 \_\_\_\_\_ 7 / 9  
 (Signature of Second Holder)

 \_\_\_\_\_ 7 / 9  
 (Signature of Third Holder)


3. Mutual Fund transactions being executed on Stock Exchange order entry platforms.


 \_\_\_\_\_ 10 / 17  
 (Signature of First / Sole Holder)


 \_\_\_\_\_ 6 / 9  
 (Signature of Second Holder)

 \_\_\_\_\_ 6 / 9  
 (Signature of Third Holder)

4. Tendering shares in open offers through Stock Exchange platforms.

 \_\_\_\_\_ 11 / 17  
 (Signature of First / Sole Holder)

 \_\_\_\_\_ 7 / 9  
 (Signature of Second Holder)

 \_\_\_\_\_ 7 / 9  
 (Signature of Third Holder)

I / We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein. Further this Demat Debit and Pledge Instruction is executed subject to the terms that the stock broker shall return to me/us the securities that may have been received by them erroneously or those securities that the stock broker was not entitled to receive from me/us.

I / We hereby agree and declare that all acts and deeds done by the aforesaid stock broker under this authorization shall be construed as acts and deeds done by me / us jointly as well as severally and I/we further confirm and ratify all acts and deeds that the aforesaid stock broker shall lawfully do or cause to be done by virtue of this authorization. I / We further agree and confirm that the powers and authorities conferred by this Demat Debit and Pledge Instruction shall continue until it is revoked (without notice) in writing by me / us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker at its Corporate Of fice.

### SCHEDULE 'A' (DEMAT ACCOUNT DETAILS)

Particulars	DP ID	Client ID
NSDL BSE Pool A/C	IN656083	
CSDL BSE Principal A/C	12041500	00001941
NSDL NSE Pool A/C	IN566147	
CSDL NSE Principal A/C	12041500	00352801

Particulars	DP ID	Client ID
Margin Pledge (TM / CM CMPA)	12041500	01487841
Margin Funding	12041500	01487854
CDSL NSE Early Pay-in A/C	11000011	00018450
CDSL BSE Early Pay-in A/C	11000010	00015282

## APPENDIX - A

### Electronic Contract Note (ECN) - Declaration

(Voluntary)

To,  
Jainam Broking Limited  
Jainam House, New Passport Office Road,  
Kargil Chowk, Piplod, Surat - 395007.

Date	D	D	-	M	M	-	2	0	Y	Y
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Dear Sir / Madam,

I, \_\_\_\_\_, a client with **Jainam Broking Limited** who is a member of MCX & NCDEX (Commodity Exchanges) undertake as follows:

I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.

I am aware that the Member has to provide electronic contract note for my convenience on my request only.

Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.


I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.

My E-mail ID is \_\_\_\_\_. This has been created by me and not by someone else. \*(The email id must be written in own handwriting of the client.)

I am aware that this declaration form should be in English or in any other Indian language known to me.

I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above E-mail ID.

**The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involve in dispensing with the physical contract note, and do hereby take full responsibility for the same.**

Signature	 13 / 17	Address	
Name			
PAN	P	UCC	

#### FOR OFFICE USE ONLY

**Signature Verified by:**

Signature		Name	
		Designation	

Date	D	D	-	M	M	-	2	0	Y	Y
Place	Surat									

# VARIOUS AUTHORIZATIONS

(Voluntary)

To,  
Jainam Broking Limited  
Jainam House, New Passport Office Road,  
Kargil Chowk, Piplod, Surat - 395007.

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

Client ID	12041500
UCC	

Dear Sir/Madam,

## RUNNING ACCOUNT AUTHORIZATION

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

- and authorize you to maintain a running account across all the segment of all the Exchanges instead of settlement to settlement clearance of dues to me.
- and instruct you that no cheques be issued to me towards any credit balance in my account, unless specifically demanded by me and only to the extent of amount demanded by me.
- and authorize you to withhold delivery due to me against any debit balance or pending sale in my account arising on account of margin or future obligations.
- for intra-exchange and/or inter-settlement transfer of funds and/or securities towards pay-in or pay-out of securities in the future or past settlements.
- and authorize you to transfer amount from '**Margin Ledger**' to '**MTM Ledger**' (routine billing and fund transaction ledger) and vice versa to fulfill margin and normal billing liability towards you in Cash Equity Derivatives, Currency Derivatives and Commodity Derivatives segment.
- to maintain such quantity of securities and such amount of cash credit balance as required by the applicable statues, rules, regulations, procedures or as deemed necessary or advisable by you. If you consider it necessary for your own protection, you may demand to deposit additional cash or securities to your account prior to any applicable settlement date in order to assure due performance of my open contractual commitments. If I do not provide such additional cash or securities, you shall have the right to sell any or all securities, but any or all relevant securities which may be short in my account, cancel any or all open orders and/or close any or all of my outstanding contracts.



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## SETTLEMENT OF FUNDS

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

Settlement of Funds	<input type="radio"/> Monthly	<input type="radio"/> Quarterly
---------------------	-------------------------------	---------------------------------



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## VARIOUS AUTHORIZATIONS

(Voluntary)

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

### TELEPHONIC INSTRUCTIONS/VOICE LOGGER

As regards to placement of orders, although you have insisted on written instruction for placing / modifying / cancelling orders, considering the practical difficulties faced in complying the same, I hereby agree to telephonic instruction for order placing or order modification as a written request and give all the confirmations on telephone unless instructed otherwise in writing.

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

### SMS FACILITY

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

I am also aware that you may charge a fee (amount not exceeding C25/- per month) for availing this facility & I authorize you to debit the same to my ledger from time to time.

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

### LETTER OF AUTHORITY

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

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

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

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

### DEMAT CHARGES AUTHORIZATION

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

No.	Demat Account No.	No.	Demat Account No.
1	12041500	2	12041500

### INTERNET / MOBILE BASE APPLICATIONS

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

I am fully aware that you may charge a fee (amount not exceeding C5/- per order / trade executed) for the trades initiated through such applications & also levy a monthly charge for accessing these softwares (amount not exceeding C 500/- per annum) & I hereby authorize you to kindly debit these charges to my ledger account from time to time.

## VARIOUS AUTHORIZATIONS

(Voluntary)

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

### REVOCATION OF AUTHORIZATIONS

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



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### OPTING-OUT OF BSDA FACILITIES

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

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

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



17 / 17

(Signature of First / Sole Holder)



9 / 9

(Signature of Second Holder)



9 / 9

(Signature of Third Holder)

## ACKNOWLEDGEMENT OF KYC DOCUMENTS

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

To,  
Jainam Broking Limited  
Jainam House, New Passport Office Road,  
Kargil Chowk, Piplod, Surat - 395007.

Dear Sir / Madam,

Sub: Acknowledgment of KYC Documents

### Sub : Acknowledgement of KYC Documents

Ref : UCC # \_\_\_\_\_ Client ID : 12041500 \_\_\_\_\_

I/We hereby acknowledge receipt of the following documents

- Photostat Copy of Client Registration Form (Part-A & Part-B)
- Tariff Sheet
- Rights & Obligations
- Risk Disclosure Documents (RDD)
- Guidance Note (Do's & Don'ts)
- Company's Internal Policies & Procedures
- Photostat Copy of DP Account Opening Form
- Photostat Copy of Multiple Nomination Form
- Rights & Obligations of DP & BO
- SMART - Terms & Conditions (Annexure 2.4)
- TRUST - Terms & Conditions (Annexure 2.6)
- Photostat Copy of POA Agreement
- Photostat Copy of the Voluntary Declaration
  - Electronic Contract Note (ECN) - Declaration
  - Running Account Authorization / Settlement of Funds & Securities
  - Telephonic Instruction / Voice Logger
  - SMS Facility
  - Authority Letter
  - Demat Charges Authorization
  - Internet / Mobile Base Applications
  - Opting-Out of BSDA Facilities
  - Investor Charter Document (DP & SB)



\_\_\_\_\_  
(Signature of First / Sole Holder)



\_\_\_\_\_  
(Signature of Second Holder)



\_\_\_\_\_  
(Signature of Third Holder)



## Consent/ Authorization to avail Margin Trading funding

To,  
Jainam Broking Ltd.

- I/we am/are interested in activating my/our account for avail margin trading funding with Jainam Broking Pvt Ltd. I/we hereby authorize you to activate my/our account for the above-mentioned funding as per my consent.
- I/we have read and agree to the terms and conditions of Margin Trading Funding provided by Jainam Broking Pvt Ltd (a copy of which is duly accepted and signed by us along with this consent/Authorisation letter). I/we do hereby agree to be bound by such provisions as outlined in these documents and act in accordance with the same while availing the margin trading funding.
- I/we hereby undertake to refer to the updated policies and procedure as posted on Way2wealth website and abide by the same.
- I/we confirm and agree to receive all the communication such as confirmation of orders/trades, margin calls, decisions/calls to liquidate the collateral/ positions / security on my registered email address or registered mobile number provided with Jainam Broking Pvt Ltd send electronically by Jainam Broking Pvt Ltd.
- I/we understand that by availing the funding to trade under Margin Trading, i/we authorize Jainam Broking Pvt Ltd to treat all my/our trade in MTF approved securities, which are not covered by 100 % margin (i.e Cash in ledger) as trades under Margin Trading Funding upto the approved limit for my/our client account and accordingly do the needful.
- I/we understand and agree that the interest would be calculated and levied on a daily basis at the rate mutually agreed between client and Way2Wealth from time to time.
- I/we confirm that we have received the rights and obligations of Stock-Brokers & Clients for Margin Trading Funding (MTF) and had read the same.
- Interest rate for the MTF funding will 18 % per annum.
- I/We would want the total exposure of Rs. \_\_\_\_\_ and exposure to be provided as per required margin. I/We are aware that the Margin Funding exposure to us will be based on internal risk assessment of broker.
- I/We are aware that single scrip exposure will be given by broker subject to our account risk assessment and at the sole discretion of Way2Wealth Brokers Pvt Ltd.

<b>Client Trading Code</b>	
<b>Client Name</b>	
<b>Client PAN No</b>	
<b>Client Signature</b>	

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

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

## Rights and Obligations/Terms & Conditions to avail Margin Trading facility

Jainam Broking Pvt Ltd member of NSE, BSE and MSEI is eligible to provide the MTF to its clients in accordance with the Rights & Obligations, Guidelines and Circulars as prescribed under SEBI circular No. CIR/MRD/DP/54/2017 dated June 13, 2017, and also by the Respective Stock Exchanges from time to time. In these terms and conditions, the following terms shall have the below mentioned meaning unless indicated otherwise:

- “JBL” means Jainam Broking Pvt. Ltd., a Stock-Broker of National Stock Exchange of India Limited (TMCode: 12169) and BSE Limited (Clg No: 2001) having obtained prior permission from respective exchange to provide Margin Trading Facility to its clients.
- “Margin Trading Facility (MTF)” is the product being offered by JBL to Clients under the framework of rules, regulations issued by Exchanges/ SEBI from time to time and JBL has obtained prior permission for same from the respective Stock Exchange/(s).
- “Client” means a constituent of JBL who have agreed to avail the facility of Margin Trading. Clients would include Individual, Company, Partnership Firm, Trust, HUF, Association of Person & Body of Individuals etc.,
- “Communication in electronic mode” means alerts as a customized SMS or Email Communication sent to clients to their registered E-mail Address or Mobile Number with JBL.
- “SMS” means “Short Messaging Service”
- “Securities” means all funded and collateral stocks that are permissible set of securities as provided by NSE and BSE from time to time under the margin trading facility.

### **Clients willing to avail MTF facility from JBL shall authorize, confirm and agree to the below mentioned policies of MTF:**

1. Client shall agree to all the terms and conditions of MTF offered by JBL.
2. JBL at all-time shall have the liberty to exercise its rights in its sole discretion to determine the extent to which the MTF to be made available to the client.
3. On execution of MTF Transaction, there will not be any further confirmation to client by JBL, that it is margin trading transaction other than by contract note and alerts sent by T+1 day to the registered email address and/or Mobile no.
4. JBL shall have rights / discretion to allocate available securities / funds as collateral against MTF.
5. JBL shall not be bound to grant MTF to the client (Such decision shall be at the sole and exclusive discretion of JBL) and JBL shall not be required to provide any reasons thereof nor shall JBL be

liable for any damages either direct or consequential or financial or non-financial to the client.

6. The terms / conditions /obligations of clients as amended from time to time shall be irrevocable and shall not be revoked by the death / dissolution / winding up of the client.
7. Corporate benefits if any shall be retained under control of JBL and it will be utilized towards MTF till the amount due in respect of the said transactions including any dues /charges to JBL.
8. JBL to hold and or to appropriate the credit lying in the client account and /or any unutilized pledged securities lying in designated DP account of the client along with all other DP accounts / Mutual Funds account of the Client towards the repayment of the outstanding dues thereof under MTF
9. JBL may release / unpledge the securities utilized for MTF on client request within 5 working days provided there are no dues to JBL or after clearing all the dues to JBL.
10. Securities purchased under MTF shall be identified separately and no comingling shall be permitted for the purpose of computing funding amount.
11. JBL shall not use the funds and securities of one client to provide MTF to another client, even on the authority of the client.
12. Daily margin statements sent by JBL to the respective client shall identify the Margin / Collateral for MTF separately.

### **Mode of Communication:**

Communications pertaining to MTF including consent to the Terms & Conditions, Order / trade confirmation, revision in margin, margin calls / decision to liquidate the position /security /collateral, Margin Statements, Margin policies on haircuts /VAR margin, RMS policies, Rights & Obligations allowable exposure, specific security exposure etc., will be communicated to the registered email id.

### **Securities Eligible for Margin Trading:**

1. Equity Shares that are classified as 'Group I security' as per SEBI Master circular No. SEBI/HO/MRD/DP/CIR /P/2016/135 dated December 16, 2016, shall be eligible for margin trading facility
2. JBL reserves the rights to either include or exclude any securities from its MTF Approved list from the above said “Group I Security” as per the discretion of JBL without any prior intimation.

**Margin Requirement:**

1. The minimum initial margin required for MTF shall be as under: -

Category of Stock	Applicable margin
Group I stocks available for trading in F&O Segment	VAR + 3 times of applicable ELM* #
Group I stocks other than F&O stocks	VAR + 5 times of applicable ELM* #

\*For aforesaid purpose the applicable VAR and ELM shall be as in the cash segment for a particular stock.

# Margin will be increased to 100% in case of Corporate action or where the scrip does not remain eligible for MTF.

2. The actual applicable Initial Margin would be set by JBL based on its internal risk assessment and the same may be higher than the initial margin determined as mentioned above. The client shall refer the latest list of securities and applicable margin thereon, made available by JBL from time to time.
3. The client shall ensure maintenance of the aforesaid JBL prescribed margin at all times during the period that the margin trading facility is being availed by the client. The client shall ensure to place the prescribed margin in the form and manner as may be specified by JBL from time to time.
4. JBL may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin, from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, agree to make up the revised margin immediately, not later than 5 working days from the day of margin call, failing which JBL may exercise its discretion / right to liquidate the security/ collateral and/or close out the position immediately. It may, however, be noted that the initial/ maintenance margins will never be lower than that prescribed by Stock Exchanges/ SEBI.
5. On any short fall in margins, JBL would make the margin call, accordingly the client shall make good such deficient margin / margin call by placing the additional margin immediately, failing which JBL may exercise its discretion / right to liquidate the security / collateral and / or close out the position immediately depending upon the market conditions and / or the volatility. While making the margin Call JBL Will clearly indicate the additional/deficient margin to be made good
6. A separate risk management policy will be applicable to the transactions done under the Margin Trading Facility. Amendment to such risk management policy will get implemented after the same are duly communicated to the clients.

**Collaterals:**

1. The initial margin payable by the client to JBL shall be in the form of -

- Cash &/or approved cash equivalent
- And/or
- Group I equity shares, with appropriate hair cut as specified in SEBI Master circular no. SEBI/HO/MRD /DP/CIR/P/2016/135 dated December 16, 2016 and included in the approved list of JBL for MTF.
2. By agreeing to avail Margin Trading Facility with JBL, client is deemed to have authorized JBL to re- pledge the securities provided as collateral or purchased under the Margin Trading Facility and any corporate benefit thereon, if permitted by regulations applicable for Margin Trade Facility from time to time, till the amount due in respect of the said transaction including the dues to JBL is paid in full by the client.
  3. Client have a right to change the securities collateral offered for Margin Trading Facility at any time with prior notice in writing to JBL so long as the securities so offered are approved for margin trading facility by JBL.

**Exposure and Maximum Permissible Exposure:**

1. **Client Wise:** Exposure to any single client at any point of time will not exceed 10% of the maximum allowable exposure which is equal to borrowed funds by JBL and 50% of JBL's "net worth".
2. **Securities Wise:** Exposure towards stocks purchased under margin trading facility and collateral kept in the form of securities, will be well diversified with at least 3 approved securities and which is as per the approved policy of JBL in this regard from time to time.
3. **Exposure on the increased value of Collaterals:** In case of increase in the value of Collaterals, JBL may at its sole discretion have the option of granting further exposure to the client subject to applicable haircuts. However, no such exposure shall be permitted on the increased value of Funded stocks

**MTF Trades Classification & related terms:**

1. Client shall inform in writing or in any other irrefutable mode of communication its intent to shift transactions to or out of MTF, which should not be later than 4 p.m. on T day, in case of any shortfall in Margin collaterals required for such MTF transactions then the same would be considered under normal trading facility and Margin/settlement compliances of Normal Trading would be applicable.
2. Client will be free to take the delivery of the securities at any time by repaying the amounts that was paid by JBL to the Exchange towards the securities bought under MTF along with all other charges & dues on account of MTF transactions.
3. JBL shall monitor and review on a continuous basis the client's position with regards to MTF

4. Mark to Market (MTM) losses on open positions to be paid by the client by the next working day by 11.30 pm. MTM profit and sale credit of MTF positions squared off on T day shall be credited in clients Ledger on T+1 working day.
5. The client can carry forward his open buy position till T+90 days. This T+90 day cut off can be extended by JBL at its sole discretion or can be reduced in case of corporate actions concerning the securities in which there is open MTF position.
9. All losses and financial charges on account of such liquidation/closing out shall be charged to and borne by the client
10. Whenever the securities are liquidated by JBL, the contract note issued for such margin call related transaction will carry an identifier that the transaction has arisen out of margin call.
11. JBL will liquidate the client positions on FIRST IN FIRST OUT (FIFO) basis and within the FIFO the securities with highest value will be liquidated first. In case of any illiquidity in securities falling in FIFO JBL may at its sole discretion liquidate any other security that has sufficient liquidity and value to cover the dues receivable from Clients.

#### **Interest Calculation and Reporting of Trades**

1. JBL would consider entire clear credit ledger balance in the clients normal ledger for adjustment against the MTF trades (Ledger) and only the net debit balance would be considered as funded amount for reporting purpose.
2. JBL would calculate and levy the interest at agreed rates from time to time on the net debit balance in the MTF Ledger for the number of days of debit balance in MTF Ledger.

#### **Liquidation of MTF and collateral securities**

JBL reverse the rights to Liquidate / Square off MTF Collateral / Funded Securities under the following circumstances:

1. If client fails to meet the margin call for 5 or more Trading days from the day of margin call.
2. If any instrument for the payment of Margin Money is / are dishonored.
3. If client violates / breaches any provision / policies of MTF or provides any incorrect or misleading information.
4. If client has become the subject of any proceedings under any bankruptcy or insolvency law or winding up or liquidation proceedings or has a receiver or liquidator appointed in respect of itself or its assets or declared by any authority as a sick company or insolvent or seeking financial reconstruction or any other like scheme or whatever name called or is dissolved or any change in the constitution whether on account of the admission of a new partner or the retirement, death or insolvency of any partner or otherwise;
5. Due to any reasonable apprehension that client is unable to pay its outstanding dues or has admitted his inability to pay it dues.
6. On the occurrences of death / lunacy or other disability of the client.
7. On any circumstance which is sole opinion of JBL, is prejudicial to the interest of JBL.
8. Order passed by any regulatory. Courts, statutory bodies etc.,

12. Time period for liquidation of position/security shall be after 12 working hours from the notice of liquidation/margin call. However, if mark to market loss exceeds 75% of funded stock value, then MTF stocks will be immediately liquidated, and any shortfall not covered with such liquidation will have to be paid by the client on demand. In case such debit is not paid by the client then Jainam Broking Pvt Ltd has the right to liquidate the collaterals(both Cash and/or securities) provided to cover the debit. Clients are therefore required to monitor their mark to market losses vis-à-vis margin availability on areal time basis.

#### **Termination of MTF Relationship:**

1. Client may close / terminate the MTF Account at any time after paying the dues with prior notice in writing.
2. The margin trading arrangement between JBL and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the MTF approval provided to JBL or JBL surrenders the facility or the JBL ceases to be a member of the stock exchange.
3. The MTF facility may be withdrawn by JBL, in the event of client committing any breach of any terms or conditions therein or at any time after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of JBL committing any breach of any terms or conditions therein or for any other reason.
4. In the event of termination of this arrangement, the client shall forthwith settle the dues of JBL. The JBL shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the JBL to make such adjustment.

5. After such adjustment, if the amount is still due to JBL from the client, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to JBL, it shall release the balance amount/collateral securities as the case may be to the client.
6. If the client opts to terminate the margin trading facility, JBL shall forthwith return to the client all the collaterals provided and funded securities retained within 5 working days from the date of clearing of all the dues by client.
3. The dues, wherever mentioned herein above, includes but not limited to outstanding balances, interest, statutory taxes, duties, charges, penalties etc. in respect of MTF availed by the Client
4. The terms / conditions / Obligations of the Client as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/winding up of the Client
5. JBL shall not be liable for any losses either actual or opportunity losses arising from or in connection with MTF transactions due to:
  - a. Arising out of technical / system issues.
  - b. Disallowance of any scrip to be allowed for further MTF positions
  - c. Increase in applicable margin, especially when margin is increased to 100% in case of Corporate action or where the scrip does not remain eligible for MTF.
  - d. Increase in Collateral haircut %, especially when haircut is increased to 100% in case of Corporate action or withdrawal of scrip from acceptance as collaterals due to reduction in price band of less than 20%, shifting of groups by exchange(s) etc.
  - e. Liquidation of MTF open positions due to increased mark to market losses and/or margin shortfall.

**Complaints Redressal:**

1. Client shall lodge protest or disagreement with any transaction done under the MTF within 24 hours from the date of receipt of such document/ contract notes / statements /any other communications.
2. Any dispute arising between the client and JBL in connection with the MTF, shall be referred to the investor grievance redressal mechanism, arbitration mechanism of the respective stock exchange.
3. SGF and IPF shall be available for transactions done on the Stock Exchange, whether through Normal or MTF. However. in case of any losses suffered in connection with the MTF availed by the client from the Stock Broker shall not be covered under IPF.

**Miscellaneous:**

1. The funds of one client will not be used to provide MTF to another client, even if the same is authorized by the first client.
2. The Clients Margin Trading Account with no transaction for 90 days or any other time period as per the discretion of JBL will be settled immediately.

6. Account Opened under MTF may be separated with either prefix or suffix of an identified letter with the unique client code for operational ease at the discretion of JBL

<b>Client Trading Code</b>	
<b>Client Name</b>	
<b>Client PAN No</b>	
<b>Client Signature</b>	

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

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