

BAJAJ FINANCIAL SECURITIES LIMITED

ACCOUNT OPENING KIT – TRADING AND DEMAT

Registered Office:

Bajaj Auto Limited Complex, Mumbai - Pune Road, Akurdi, Pune-411035, Maharashtra
Tel: 020 3018 6403 Email: connect@bajajbroking.in Website: www.bajajbroking.in

Correspondence Office Address:

Unit 9 & 10, Tower B, 1st Floor, Mantri IT Park, Nagar Road, Viman Nagar, Pune-411014, Maharashtra
Tel: 020 4857 4488 Email: connect@bajajbroking.in Website: www.bajajbroking.in

Compliance Officer

Name: Saksham Kaushik
Tel: 020 4857 4486 Email: compliance_sec@bajajbroking.in

Managing Director/ Manager/CEO

Name: Manish Jain
Tel: 020 4857 4505 Email: md@bajajbroking.in

Members

SEBI Reg. No. (Trading) : INZ000218931 (24 January 2019)	Repository Participant
BSE : 6706	NERL :
NSE : 90177	CCRL :
SEBI Reg. No. (DP) : IN-DP- 4182019 (13 June 2019)	Comtrack Participant : M1100403
NSDL : IN304300	Research Analyst Reg. No. : INH000010043
CDSL : 12088600	MF ARN : 163403
MCX : 57680	

Clearing Member Details

Exchange Segment	Clearing Member	Clearing Member Code
BSE CM & FO & COMM	Bajaj Financial Securities Limited	6706
NSE CM & FO & COMM	Bajaj Financial Securities Limited	90177
MCX	Bajaj Financial Securities Limited	57680
NCDEX	Bajaj Financial Securities Limited	

For any grievance/dispute, please contact BAJAJ FINANCIAL SECURITIES LTD. at the above address or mail at compliance_sec@bajajbroking.in (for Trading) and compliance_dp@bajajbroking.in (for DP) or call us at our Tel.No. 020 4857 4443

Escalation Matrix

Details Of Contact Person		Address	Contact no.	Email ID
Customer Care	Customer Service Team	Bajaj Financial Securities Limited, 1st Floor, Mantri IT Park, Tower B, Unit No 9 & 10, Viman Nagar, Pune, Maharashtra 411014	1800-833-8888	connect@bajajbroking.in
Head of Customer care	Mr. Shantanu Dutta		020-48574489	BFSLCustomerServiceHead@bajajbroking.in
Compliance Officer	Mr.Saksham Kaushik		020-48574486	compliance_sec@bajajbroking.in compliance_dp@bajajbroking.in
Managing Director	Mr. Manish Jain		020-48574505	md@bajajbroking.in

In case you are not satisfied with the response, please contact the concerned Exchange(s)/Depository(ies):

Exchange/ Depository Contacts

NSE:	Phone: +91 22 2659 8190	Email: ignse@nse.co.in
BSE:	Phone: +91 22 2272 8097	Email: is@bseindia.com
CDSL:	Phone: 1800-200-5533/022 2305 8563	Email: complaints@cdslindia.com
NSDL:	Phone: 022 2499 4200	Email: relations@nsdl.co.in
MCX:	Phone: 022 6649 4070	Email: grievance@mcxindia.com
NCDEX:	Phone: 022 6640 6084	Email: askus@ncdex.com

You can also lodge your grievances with SEBI at <https://scores.gov.in> or ODR at <https://smartodr.in/login>

For any queries, feedback or assistance, please contact SEBI on Toll Free Helpline at: 1800 22 7575 / 1800 266 7575

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ACCOUNT OPENING KIT - INDEX

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DOCUMENTS CHECKLIST

S. No.	Documents (Copies of all documents to be Self Attested)
1. Individual	1. Photograph 2. PAN 3. Proof of Permanent Address 4. Correspondence Address 5. Bank Proof with MICR Code (cancelled Cheque) 6. Cheque for DP AMC (as per the scheme opted) 7. FATCA declaration
2. Non Resident Indian (NRI)	1. Photograph 2. PAN 3. Proof of Foreign Address 4. Proof of Local Address 5. Additional Documents a. Passport with visa copy/PIO Card/OCI Card b. Portfolio Investment Scheme(PIS) Declaration Copy c. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) 6. Bank Proof with MICR Code (cancelled Cheque) 7. Cheque for DP AMC (as per the scheme opted) 8. FATCA Declaration
3. Corporate	1. Photograph a. Whole time directors/two directors in charge of day to day operations b. Individual promoters holding control – either directly or indirectly 2. Proof of Address a. Whole time directors/two directors in charge of day to day operations b. Individual promoters holding control – either directly or indirectly 3. PAN a. Of Company b. Whole time directors/two directors in charge of day to day operations c. Individual promoters holding control – either directly or indirectly 4. DIN Number of Whole time directors/two directors in charge of day to day operations 5. Bank Proof with MICR Code (cancelled Cheque) 6. Balance Sheet and Profit & Loss account with networth information for last two years or for applicable period. 7. Share Holding Pattern (as of last quarter or more recent) 8. Memorandum and Articles of Association and certificate of Incorporation 9. Board Resolution for investment in securities market 10. Form INC 22 With Challan 11. Form DIR 12 With Challan 12. List of Directors 13. Authorized signatories list with specimen signature 14. Ultimate Beneficiary Ownership (UBO) Declaration 15. Cheque for DP AMC (as per the scheme opted) 16. FATCA declaration
4. Partnership Firm	1. Photograph of all the Partners a. PAN - Partnership Firm b. PAN - All the Partners 2. Proof of Address - a. Partnership Firm b. All the Partners 3. Balance Sheet and Profit & Loss account for last two years or for applicable period 4. Copy of Partnership Deed along with authority letter for investment in security market 5. Certificate of Registration (for registered Partnership Firms only) 6. Authorized Signatories list with specimen signatures 7. Bank Proof with MICR Code (cancelled Cheque) 8. Ultimate Beneficiary Ownership (UBO) Declaration 9. Cheque for DP AMC (as per the scheme opted) 10. FATCA Declaration

5. Limited Liability Partnership (LLP)	1. Photograph of all the Partners 2. PAN a. LLP b. All the Partners 3. Proof of Address - a. LLP b. All the Partners 4. Balance Sheet and Profit & Loss account for last two years or for applicable period 5. Net-worth Certificate (certified by CA) 6. Copy of Partnership Deed along with authority letter for investment in security market 7. Certificate of Registration 8. Authorized Signatories list with specimen signatures 9. Bank Proof with MICR Code (cancelled Cheque) 10. Ultimate Beneficiary Ownership (UBO) Declaration 11. Cheque for DP AMC (as per the scheme opted) 12. FATCA Declaration
6. Hindu Undivided Family (HUF)	1. Photograph of Karta 2. PAN a. HUF b. Karta 3. Proof of Address a. HUF b. Karta 4. Deed of Declaration of HUF/List of coparceners 5. Bank Proof with MICR Code of the HUF (cancelled Cheque) 6. Cheque for DP AMC (as per the scheme opted) 7. Ultimate Beneficiary Ownership (UBO) Declaration 8. FATCA Declaration
7. Trusts	1. Photograph of all the signatories/trustees 2. PAN - a. Trust b. All the signatories/trustees 3. Proof of Address a. Trust b. All the signatories/trustees 4. Balance Sheet and Profit & Loss account for last two years of for applicable period 5. Copy of Trust Deed 6. Certificate of Registration (for registered trusts only) 7. List of Trustees (certified by Managing Trustees/CA) 8. Bank Proof with MICR Code (cancelled Cheque) 9. Cheque for DP AMC (as per the scheme opted) 10. Ultimate Beneficiary Ownership (UBO) Declaration 11. FATCA Declaration
8. Foreign Institutional Investors (FII)	1. Photograph of all the signatories 2. PAN a. Bank/Institutional Investors b. All the Signatories 3. Proof of Address 4. Copy of the SEBI registration certificate 5. Authorized Signatories list with specimen signatures 6. Bank Proof with MICR Code (cancelled Cheque) 7. Cheque for DP AMC (as per the scheme opted) 8. Ultimate Beneficiary Ownership (UBO) Declaration

In terms of SEBI circular no. SEBI/MRD/SE/CIR-42/2003 dated November 19, 2003 issued by the Securities and Exchange Board of India the broker member is obliged to disclose to its client that depending upon the market scenario the members/its Directors or its associates do invest/trade in capital/derivatives segment. Clients are hereby informed that we are into proprietary trading in addition to clientele business. The same may be noted.

A. Important Points:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the 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 regional/foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines) copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository Participant, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued 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:

- i. Passport / driving license / Aadhaar number / Voter's Identity Card
 - ii. job card issued by NREGA duly signed by an officer of the State Government
 - iii. the letter issued by the National Population Register containing details of name address; or any other document as notified by the Central Government in consultation with the Regulator.
- Further, in terms of proviso to the above Rule, where simplified measures are applied for verifying the identity of the clients, the following documents shall also be deemed to be officially valid document:
- i. Identity card/ document with applicant's photo, issued by the Central/State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks and Public Financial Institutions;
 - ii. Letter issued by a gazetted officer, with a duly attested photograph of the person.

C. PROOF OF ADDRESS (POA): List of documents admissible as Proof of Address:

- i. Passport / driving license / Aadhaar number / Voter's Identity Card
- ii. job card issued by NREGA duly signed by an officer of the State Government;
- iii. the letter issued by the National Population Register containing details of name, address; or any other document as notified by the Central Government in consultation with the Regulator.

In case the officially valid document furnished by the client does not contain updated address, the following documents (or their equivalent e[1]documents thereof) shall be as deemed to be officially valid document for the limited purpose of proof of address, provided that the client shall submit updated officially valid document (or their equivalent e-documents thereof) with current address within a period of three months of submitting the following documents:

- i. utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); (For Non-Individual only)
- ii. property or municipal tax receipt;
- iii. pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address;
- iv. letter of allotment of accommodation from employer issued by state or central government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

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, FVCs, 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. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED FROM NON-INDIVIDUALS, OVER & ABOVE THE PROOF OF IDENTITY (POI) AND PROOF OF ADDRESS (POA), AS MENTIONED BELOW:

1.	Corporate	a. Copy of the balance sheets for the last two financial years or for the relevant applicable period (to be submitted every year). b. Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). c. Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. d. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. e. Copies of the Memorandum and Articles of Association and certificate of incorporation. f. Copy of the Board Resolution for investment in securities market, (if applicable). g. Authorised signatories list with specimen signatures.
2.	Partnership Firm	a. Copy of the balance sheets for the last two financial years or as applicable (to be submitted every year). b. Certificate of registration (for registered partnership firms only). c. Copy of partnership deed. d. Authorised signatories list with specimen signatures. e. Photograph, POI, POA, PAN of Partners.
3.	Trusts	a. Copy of the balance sheets for the last two financial years or as applicable (to be submitted every year). b. Certificate of registration (for registered trust only). c. Copy of Trust deed. d. List of trustees certified by Managing Trustees/CA. e. Photograph, POI, POA, PAN of Trustees.
4.	Registered Society	a. Copy of Registration Certificate under Societies Registration Act. b. List of Managing Committee members. c. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. d. True copy of Society Rules and By-Laws certified by the Chairman /Secretary.
5.	HUF	a. PAN of HUF. b. Deed of declaration of HUF/List of coparceners. c. Bank pass-book/bank statement in the name of HUF. d. Photograph, POI, POA, PAN of Karta.
6.	Unincorporated Associate or Body of Individuals	a. Proof of Existence/Constitution document b. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. c. Authorised signatories list with specimen signatures.
7.	Foreign Institutional Investors (FIIs)	a. Copy of SEBI registration certificate. b. Authorised signatories list with specimen signatures.
8.	Bank/Institutional Investors	a. Copy of the constitution/registration or annual report/balance sheet for last two financial years. b. Authorised signatories list with specimen signatures.
9.	Army/Government Bodies	a. Self-certification on letter head. b. Authorised signatories list with specimen signatures.

Icons to help you to identify information required to be filled in the form



Client Signature



Secondary Signature



Third Signature



Authorised Signature



Guardian Signature



Witness Signature

ACKNOWLEDGEMENT TO BAJAJ FINANCIAL SECURITIES LIMITED

Date: _____

To,

BAJAJ FINANCIAL SECURITIES LIMITED

Unit 9 & 10, Tower B, 1st Floor, Mantri IT Park,
Nagar Road, Viman Nagar, Pune-411014, Maharashtra

Dear Sir/Madam,

I/We hereby confirm that I/We have gone through all the relevant clauses at the time of execution of KYC and have sought the relevant clarification wherever required from the officials of Bajaj Financial Securities Limited.

Moreover please arrange to provide the following documents in (please tick the relevant option):

- ☐ Electronic via Email
☐ Physical

S. No.	Brief description of document
1.	Rights & Obligations – Demat (Rights & Obligations of Beneficial Owner & Depository Participant as prescribed by SEBI & Depositories)
2.	Rights and Obligations – Stock Broker (Document stating the Rights & Obligations of Stock Broker/trading member and client for trading on Exchanges (including additional rights & obligations in case of internet/wireless technology based trading)
3.	Risk Disclosure Documents (RDD) - Document detailing risk associated with dealing in the securities market
4.	Policies and Procedures – (Document describing significant policies and procedures of the Stock Broker)
5.	Guidance Note – (Document detailing do's and don'ts for trading on Exchange, for the education of the investors)
6.	Tariff Sheet – (Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock Exchange(s))

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will. I state that I have read and understood all above documents and these documents are binding upon me.

For _____

(Name of Client)

Client Signature:



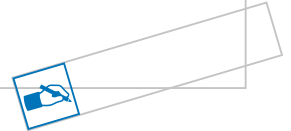
Client Code: _____

(should be signed with Rubber Stamp, if applicable)

Please fill this form in ENGLISH and in BLOCK LETTERS.

IDENTITY DETAILS

- Name of Applicant (as appearing in supporting identification document):
- Name of Father /Spouse:
- a. Gender (Please tick one) b. Marital Status (Please tick one) c. Date of birth
 Male ☐ Single ☐
 Female ☐ Married ☐
 Transgender ☐ Others ☐
- a. Nationality (Please tick one) ☐ Indian ☐ Other (Please specify) _____
 b. Status (Please tick one) ☐ Resident Individual ☐ Non Resident ☐ Foreign National
- a. PAN (Self certified copy): ☐ Aadhaar (self certified copy with no. redacted or blackened): ☐
- Identity proof submitted (Please tick one):
☐ Aadhaar ☐ Valid Passport ☐ Voter ID card ☐ Valid Driving License
☐ NREGA Job Card ☐ National Population register letter
- ID Proof for PAN exempt Cases (DP A/c only): ☐ Pan Number _____

Affix recent
passport size
Photograph and
sign across it

ADDRESS DETAILS

- Residence/Correspondence Address: _____

 City/Town/Village: _____ State: _____ Country: _____
 Pin Code: _____ Landmark: _____
- Specify proof of Residence/correspondence address submitted: _____
- Contact details:
 Telephone (Office): _____ E-mail: _____
 Telephone (Residence): _____ Mobile No.: _____
- Permanent Address (If different from correspondence address. Mandatory for Non-Resident Applicant to specify overseas address):

 City/Town/Village: _____ State: _____ Country: _____
 Pin Code: _____ Landmark: _____
- Specify proof of permanent address submitted: _____

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 I may be held liable for it.

Place: _____ Signature of 1st/Sole Applicant: _____

Date:

Please tick anyone:

- ☐ Original verified and Self Certified Documents copies received
- ☐ (Self Attested) True copies of documents received

	Documents verified with originals by	Client interviewed by	In-person verification done by
Staff Name:			
Code & Designation:			

I confirm that I have verified the documents with the originals and satisfied with the same.

Remarks:

Signature with stamp:			
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Date:	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
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PART II - ACCOUNT OPENING FORM FOR TRADING AND DEMAT A/C (INDIVIDUAL)

BAJAJ FINANCIAL SECURITIES LTD.

NSDL DP ID: IN304300

CDSL DP ID: 12088600

Unit 9 & 10, Tower B, 1st Floor, Mantri IT Park,
Nagar Road, Viman Nagar, Pune-411014, Maharashtra

Client ID: _____

I/We request you to open a depository/trading account in my/our name as per the following details:
(Please fill all details in CAPITAL LETTERS only)

Date:

A. Details of Account holder(s):

Account holder(s)	Sole/First Holder	Second Holder	Third Holder
Name:			
PAN:			
Occupation (Please tick any one and give brief details)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify)
Brief details:			

B. Demat Account Preference (Please tick in relevant boxes):

Depository	CDSL	NSDL	COMTRACK PARTICIPANT	REPOSITORY PARTICIPANT
i. DP Name				
ii. DP ID				
iii. Beneficiary Name				
iv. Client/BO ID				

C. Type of Account (Please tick one):

- ☐ Ordinary Resident
 ☐ NRI-Repatriable
 ☐ NRI-Non Repatriable
 ☐ Qualified Foreign Investor
 ☐ Foreign National
 ☐ Promoter
 ☐ Margin
 ☐ Others (Please specify) _____

D. Client Category Commercial participant Noncommercial participant (Please tick one):

- ☐ Value chain Participant
 ☐ Exporter
 ☐ Importer
 ☐ Hedger
 ☐ Arbitrager
 ☐ Financial Participant
 ☐ Trader
 ☐ Farmers / FPOs
 ☐ Others (Please specify) _____

E. 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				MCX / NCDEX/BSE/NSE
All Segment	Cash / Mutual Fund	F&O	Currency	SLBM	Commodity Derivatives
☐	☐	☐	☐	☐	☐

If you do not wish to trade in any of segment / mutual fund, please mention here

F. Dealing Through Authorised Person (AP)/Other Stock Brokers

If yes, please specify: _____

(In case the client is dealing with multiple stock-brokers, details of all such brokers shall be furnished by the client)

Name of Stock Broker: _____ Name of AP: _____

Name of Exchange: _____ Client Code: _____
(as provided by the stock broker or Authorised Person)

Details of disputes/dues pending from/to such stock broker/Authorised Person: _____

Whether you are a Member/AP of any Exchange (Please tick one): Yes ☐ No ☐

If yes, provide SEBI/Exchanges Registration No.: _____ Ph: _____ Website: _____

G. In case of NRIs/Foreign Nationals:

RBI Approval PIS Reference Number: _____ RBI Approval Date:

H. Bank Details:

1. Bank Account type: (Please tick one) ☐ Savings Account ☐ Current Account ☐ Others (Please specify) _____

2. Bank Account Number: _____ 3. Bank Name: _____

4. Branch Address: _____

City/Town/Village: _____ Pin Code: _____ State: _____ Country: _____

5. MICR Code: 6. IFSC

7. Proof submitted (cancelled Cheque, Bank Statement, etc.) ☐ Yes ☐ No

I. Information for Prevention of Money Laundering Act, 2002

Experience _____ Number of years of Investment/Trading Experience _____

Gross Annual Income Details: ☐ Below Rs. 1 Lac ☐ Rs. 1-5 Lac ☐ Rs. 5-10 Lac ☐ Rs. 10-25 Lac ☐ More than Rs. 25 Lac OR
Net Worth (not older than 1 year) in Rs. _____ As on date

Income Range per annum (please tick one):
Nature of Business: ☐ Private/Public Sector ☐ Services ☐ Business ☐ Consultancy
(please tick one) Other (Professional/Housewife/Retired/Student/Agriculture) (Please specify) _____

Please tick, if applicable: ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

J. Standing Instructions:

1. (a) I/We authorize you to receive credits automatically into my/our account (Please tick the relevant option, if not marked default option would be 'Yes') ☐ Yes ☐ No

(b) 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') ☐ Yes ☐ No

2. Contract Note ☐ Electronic ☐ Physical

3. Holding & Transaction Statement ☐ Electronic ☐ Physical

4. Receive Delivery Instruction Slip ☐ Yes ☐ No

5. Share Email ID with Registrar & Transfer Agent (RTA) ☐ Yes ☐ No

6. Dividend/ Interest in the Primary Bank as mentioned above ☐ Yes ☐ No

7. Receive Annual Report ☐ Electronic ☐ Physical ☐ Both

8. DP Account Statement ☐ Monthly ☐ Fortnightly
☐ Weekly ☐ As per SEBI regulations

9. Consolidated Statement required ☐ Yes ☐ No
If Yes, then ☐ Electronic ☐ Physical

10. Declaration for Mobile No./Email ID Mobile No. _____ Email ID: _____
Mobile No. _____ Email ID: _____

11. Relationship with client ☐ Self ☐ Spouse ☐ Child (dependent) ☐ Parent(dependent)

12. Standard Documents (including RDD, Guidance Note & policy & procedure) ☐ Electronic ☐ Physical
13. Whether you wish to avail the facility of internet trading and mobile trading ☐ Yes ☐ No
14. TRANSACTIONS USING SECURED TEXTING FACILITY (TRUST): ☐ Yes ☐ No
- I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. (Annexure 2.6)
15. EASI:
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.
16. **SMS Alert Facility:** (Mandatory if you are giving DDPI. Ensure that the mobile number is provided in the KYC Application Form also.)
- a. Sole/First Holder ☐ Yes ☐ No
- b. Second Holder ☐ Yes ☐ No
- c. Third Holder ☐ Yes ☐ No
- d. Mode of receiving Statement of Account (Tick any one):
☐ Physical Form ☐ Electronic Form (Read Note 3 and ensure that email ID is provided in KYC Application Form)
17. ☐ I wish to avail MTF and understood the Rights and obligations and MTF Terms and conditions

K. Guardian Details (where sole holder is a minor):

(For account of minor, two KYC Application Forms must be filled i.e. one for the guardian and another for minor (to be signed by guardian))

Guardian Name: _____
Guardian PAN: _____
Relationship of guardian with minor: _____

L. Nomination Option (Please tick one):

☐ I/We wish to make a nomination

☐ I/We do not wish to make a nomination

Name of Nominee: _____ Relationship with the nominee: _____

PAN of the Nominee: _____ Date of Birth of Nominee:

Address of the Nominee: _____

Phone no. of Nominee: _____

In nominee is a minor, details of Guardian:

Name of Guardian: _____ Address of Guardian: _____

Phone no. of Guardian: _____ Signature of Guardian: _____

Please affix recent
passport size photograph
of nominee and
sign across it

M. Past Actions:

Details of any actions/proceedings initiated/pending/taken by SEBI/Exchanges/any other authority against the applicant/constituent or its Partners/Promoters/Whole Time Directors /Authorized Persons in charge of dealing in securities/Commodities during the last 3 years: (In case of any details, please provide a separate sheet)

☐ No ☐ If Yes, [Please specify] _____

Name of the Authority: _____

Action Taken by the Authority and grounds of action _____

N. Introducer details (Optional):

Status of Introducer (Please tick one):

☐ Authorized person ☐ Employee ☐ Existing client ☐ Others (Please specify) _____

Introducer's Name: _____ Address: _____

Mobile No.: _____ Signature of Introducer: _____

O. GST Registration Details:

Registration No.: _____ Validity Date:

Name of State: _____ GSTIN: _____

Declaration

- 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.
- The Rules and Regulations of the Depository and Depository Participant pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such account. I/We further agree that any false/misleading information given by me/us or suppression of any material fact will render my/our account liable for termination and further action.
- I/We further confirm having received, read and understood the contents of the "Rights and Obligations" and "Risk Disclosure Documents." I/We 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 have been displayed for information on Bajaj Financial Securities Limited's designated website, if any.
- 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.
- I/We confirm to receive the account opening document and welcome letter through email and digitally signed With reference to my/our application for opening of a Trading & Demat account with you. I/We wish to receive all documents related to account opening documents, welcome letter and CMR copy (digitally signed) on the registered email id provided. None of these would be physically sent unless requested for the same.
- I/we also declare that I/We have complied and will continue to comply with FEMA regulations.

Name(s) of holder(s)

Sole/First Holder/Guardian
(in case sole holder is minor) _____

Second Holder _____

Third Holder _____

Signature(s) of holder



FOR OFFICE USE ONLY

UCC Code allotted to client: _____

	Documents verified with originals by	Client interviewed by	In-person verification done by
Staff Name:	_____	_____	_____
Code & Designation:	_____	_____	_____
Signature:	_____	_____	_____
Date:	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y

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), Risk Disclosure Document (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 client. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any.

(Affix Seal/Stamp)

(Signature of authorised signatory) _____ Date:

D D M M Y Y Y Y

Notes:

- Additional documents in case of trading in derivatives segments - illustrative list:
 - Copy of ITR Acknowledgment
 - Copy of Annual Accounts
 - In case of salary income - Salary Slip, Copy of Form 130
 - 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.
- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/Authorised person office.
 - 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.

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

1. Name of the applicant: _____
2. a. Date of Incorporation: b. Place of Incorporation: _____
- c. Date of commencement of business: Registration No. (e.g. CIN): _____
3. PAN (duly attested copy): _____
4. Status (Please tick anyone):
- ☐ Private Limited Company ☐ Public Limited Company ☐ Body Corporate ☐ Partnership
- ☐ LLP ☐ Society ☐ Trust ☐ HUF
- ☐ Government Organisation ☐ Non Government Organisation ☐ FI ☐ FII
- ☐ Association of Persons ☐ Defense Establishment ☐ Bank ☐ Body of Individuals
- ☐ Others (Please specify) _____

B. ADDRESS DETAILS

1. Correspondence Address: _____
- City/Town/Village: _____ State: _____ Country: _____
- Pin Code: _____ Landmark: _____
2. Specify proof of correspondence address submitted: _____
3. Contact details
- Telephone (office): _____ Fax No.: _____ E-mail: _____
- Telephone (residence): _____ Mobile No.: _____
4. Registered Address (If different from correspondence address) _____
- City/Town/Village: _____ State: _____ Country: _____
- Pin Code: _____ Landmark: _____
5. Specify proof of registered address submitted: _____

C. OTHER DETAILS (If space is insufficient, enclose these details separately (Illustrative format enclosed))

1. Name, PAN, Residential address and photographs of Promoters/Partners/Karta/Trustees and Whole Time Directors
2. DIN of whole time directors:
3. Aadhaar no. of Promoters/Partners/Karta:

D. DECLARATION

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/we am aware I/we may be held liable for it.



Place: _____

(Signature of authorised signatory)

Date:

(Affix Seal/Stamp)

E. FOR OFFICE USE ONLY

Please tick anyone:

- ☐ (Original verified) Self Certified Documents copies received ☐ (Self Attested) True copies of documents received

	Documents verified with originals by	Client interviewed by	In-person verification done by
Staff Name:	_____	_____	_____
Code & Designation:	_____	_____	_____

I confirm that I have verified the documents with the originals and satisfied with the same.

Remarks: _____

Stamp & Signature: _____

Date:

DETAILS OF PROMOTERS/PARTNERS/KARTA/TRUSTEES AND WHOLE-TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) FOR NON INDIVIDUALS

Name of Applicant: _____						PAN: _____	
Sr. No.	PAN	Name of Authorized Signatories/Promoters/Partners/Karta/Trustees/Whole Time Directors	DIN (For Directors)/Aadhar Number (for Others)	Residential/Registered Address	Relationship with holder (i.e. Promoters, Whole Time Directors, etc.)	Please tick the relevant option*	Photograph
						☐ PEP ☐ RPEP	
						☐ PEP ☐ RPEP	
						☐ PEP ☐ RPEP	
						☐ PEP ☐ RPEP	
						☐ PEP ☐ RPEP	

*Please tick if any of the authorised signatories/Promoters/Partners/Karta/Whole Time Directors/Trustees is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP).

Name: _____

Signature: _____



Affix Stamp

Date: DDMMYYYY

PART II - ACCOUNT OPENING FORM (FOR NON-INDIVIDUALS)

BAJAJ FINANCIAL SECURITIES LTD.

Unit 9 & 10, Tower B, 1st Floor, Mantri IT Park,
Nagar Road, Viman Nagar,
Pune-411014, Maharashtra

NSDL DP ID: IN304300

CDSL DP ID: 12088600

Client ID: _____

We request you to open a depository/trading account in our name as per the following details:
(Please fill all details in CAPITAL LETTERS only)

Date:

A. Details of Account holder(s)

	Name	PAN
Sole/First Holder		
Second Holder		
Third Holder		

B. Demat Account Preference (Please tick in relevant boxes):

Depository	CDSL	NSDL	COMTRACK PARTICIPANT	REPOSITORY PARTICIPANT
i. DP Name				
ii. DP ID				
iii. Beneficiary Name				
iv. Client/BO ID				

C. Type of Account (Please tick one)

- ☐ Body Corporate
 ☐ Partnership
 ☐ HUF
 ☐ FI
 ☐ FII
 ☐ Qualified Foreign Investor
☐ Mutual Fund
 ☐ Trust
 ☐ Others (Please specify) _____
☐ Bank
 ☐ CM
 ☐ AOP

D. Client Category Commercial participant Noncommercial participant (Please tick one):

- ☐ Value chain Participant
 ☐ Exporter
 ☐ Importer
 ☐ Hedger
 ☐ Arbitrager
☐ Financial Participant
 ☐ Trader
 ☐ Farmers / FPOs
 ☐ Others (Please specify) _____

E. For Partnership Firm, Association of Persons (AOP), Unregistered Trust etc., although the account is opened in the name of the partner(s), trustee(s) etc., the name & PAN of the Partnership Firm, Association of Persons (AOP), Unregistered Trust, etc. should be mentioned below:

Name: _____ PAN: _____

F. In case of FIIs/Others (as may be applicable)

RBI Approval Reference Number:	
RBI Approval Date:	
SEBI Registration Number (for FIIs):	

G. 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				MCX / NCDEX/BSE/NSE
All Segment	Cash / Mutual Fund	F&O	Currency	SLBM	Commodity Derivatives
☐	☐	☐	☐	☐	☐

If you do not wish to trade in any of segment / mutual fund, please mention here

H. Dealing Through Authorised Person (AP)/Other Stock Brokers

If yes, please specify: _____
Name of Stock Broker: _____ Name of AP: _____
Name of Exchange: _____ Client Code (as given by other broker) _____
Details of disputes/dues pending from/to such stock broker/Authorised Person: _____
Whether you are a Member/AP of any Exchange (Please tick one): ☐ Yes ☐ No
If yes, provide SEBI/Exchanges Registration No.: _____ Ph.: _____ Website: _____

I. Bank Details

1. Bank Account type: (Please tick one) ☐ Current Account ☐ Others (Please specify) _____
2. Bank Account Number: _____
3. Bank Name: _____
4. Branch Address: _____
City/Town/Village: _____ Pin Code: _____ State: _____ Country: _____
5. MICR Code _____ IFSC _____
6. Proof submitted (cancelled Cheque, etc) ☐ Yes ☐ No _____

J. Information for Prevention of Money Laundering Act, 2002

Experience: _____ Number of years of Investment/Trading Experience _____
Gross Annual Income Details:
Income Range per annum (please tick one): ☐ Below Rs. 1 Lac ☐ Rs. 1-5 Lac ☐ Rs. 5-10 Lac ☐ Rs. 10-25 Lac
☐ More than Rs. 25 Lac OR Net Worth (not older than 1 year) in Rs. _____
As on date:
Nature of Business (please tick one): ☐ Manufacturing ☐ Services ☐ Trading ☐ Consultancy
☐ Other (Please specify) _____
Please tick, if applicable: (for any of your authorized signatories/ promoters/ partners/ karta/ trustees/ whole time directors)
☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)

K. Clearing Member Details (to be filled up by Clearing Members only)

1. Name of Stock Exchange _____
2. Name of Clearing Corporation/Clearing House _____
3. Clearing Member ID _____
4. SEBI Registration Number _____
5. Trade Name _____
6. CM-BP-ID (to be filled by Participant) _____

L. Standing Instructions

1. (a) We authorise you to receive credits automatically into our account (Please tick the relevant option, default option would be Yes) ☐ Yes ☐ No
(b) 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') ☐ Yes ☐ No
2. Contract Note ☐ Electronic ☐ Physical
3. Holding & Transaction Statement ☐ Electronic ☐ Physical
4. Receive Delivery Instruction Slip ☐ Yes ☐ No
5. Share Email ID with Registrar & Transfer Agent (RTA) ☐ Yes ☐ No
6. Dividend/Interest in the Primary Bank as mentioned above ☐ Yes ☐ No
7. Receive Annual Report ☐ Electronic ☐ Physical ☐ Both
8. DP Account Statement ☐ Monthly ☐ Fortnightly
☐ Weekly ☐ As per SEBI regulations
9. Consolidated Statement required ☐ Yes ☐ No
If Yes, then ☐ Electronic ☐ Physical

10. Declaration for Mobile No./Email ID	Mobile No. _____	Email ID: _____
	Mobile No. _____	Email ID: _____

11. Standard Documents (including RDD, Guidance Note & policy & procedure)	☐ Electronic	☐ Physical
12. Whether you wish to avail the facility of internet trading and mobile trading	☐ Yes	☐ No
13. TRANSACTIONS USING SECURED TEXTING FACILITY (TRUST):	☐ Yes	☐ No

I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.

14. EASI:

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.

15. **SMS Alert Facility:**

a. Sole/First Holder	☐ Yes	☐ No
b. Second Holder	☐ Yes	☐ No
c. Third Holder	☐ Yes	☐ No

d. Mode of receiving Statement of Account (Tick any one):

☐ Physical Form ☐ Electronic Form (Read Note 3 and ensure that email ID is provided in KYC Application Form)

16. ☐ I wish to avail MTF and understood the MTF Terms & Conditions

M. Past Actions:

Details of any action/proceedings initiated/pending/taken by SEBI/Exchanges/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities/commodities during the last 3 years:

☐ NO ☐ If Yes, [Please specify] _____

N. Introducer details (Optional):

Status of Introducer (Please tick one):

☐ Authorized person ☐ Employee ☐ Existing client ☐ Others (Please specify) _____

Introducer's Name: _____ Emp/Client Code: _____

Address: _____

Mobile No.: _____ Signature of Introducer: _____

0. GST Registration Details:

Registration No.: _____ Validity Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name of State: _____ GSTIN: _____

P. List of family members (Separate Annexure may be used in case number of members is higher)

S. No.	Name of Coparcener/ Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/Member (please specify)
1.					
2.					
3.					
4.					
5.					
6.					

- We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and 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, we are aware that we may be held liable for it.
- The Rules and Regulations of the Depository and Depository Participant pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such account. I/We further agree that any false/misleading information given by me/us or suppression of any material fact will render my/our account liable for termination and further action.
- I/We further confirm having received, read and understood the contents of the “Rights and Obligations” and “Risk Disclosure Documents.” I/We 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 have been displayed for information on Bajaj Financial Securities Limited’s designated website, if any.

- 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.
- I/We confirm to receive the account opening document and welcome letter through email and digitally signed with reference to my/our application for opening of a Trading & Demat account with you. I/We wish to receive all documents related to account opening documents, welcome letter and CMR copy (digitally signed) on the registered email id provided. None of these would be physically sent unless requested for the same.
- I/we also declare that I/We have complied and will continue to comply with FEMA regulations.

Authorised signatories (Enclose a Board Resolution for Authorised Signatories). In case of HUF, details of Karta to be given)

Sole/First Holder	Name	Signature(s) of holder
First Signatory/Karta of HUF		
Second Signatory		
Third Signatory		
Other Holders:		
Second Holder		
Third Holder		

FOR OFFICE USE ONLY

UCC Code allotted to Client:

	Documents verified with originals by	Client interviewed by	In-person verification done by
Staff Name:			
Code & Designation:			
Signature:			
Date:			

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), Risk Disclosure Document (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 client. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any.

(Authorised Signatory)

Date:

(Office
Seal/Stamp)

Notes:

- Additional documents in case of trading in derivatives segments - illustrative list:
 - 1) Copy of ITR Acknowledgment
 - 2) Copy of Annual Accounts
 - 3) In case of salary income - Salary Slip, Copy of Form 16
 - 4) Net worth certificate
 - 5) Copy of demat account holding statement
 - 6) Bank account statement for last 6 months
 - 7) Any other relevant documents substantiating ownership of assets
 - 8) 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.
- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For non-individual:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**GUARDIAN'S DETAILS (SAME IN LINE WITH KYC FORM -
MUST BE FILLED UP WHERE SOLE HOLDER IS MINOR)**

M Mandatory

1. Guardian's Name: _____
2. Guardian's Address: _____
City/Town/Village: _____ State: _____ Country: _____ Pin Code: _____
3. Relationship with Minor: _____
4. Guardian's PAN: _____
5. Contact details of Guardian:
Telephone (office): _____ Telephone (Residence): _____ Fax No.: _____
Mobile No.: _____ E-mail: _____

Affix recent
passport size
Photograph and
sign across it



- 6A. Gross Annual Income: (Income range per annum, please tick one)

☐ Below Rs. 1 Lac ☐ Rs. 1-5 Lac ☐ Rs. 5-10 Lac ☐ Rs. 10-25 Lac ☐ Above Rs. 25 Lac

OR

- 6B. Networth (should not be older than 1 year) Amount (in Rs.): _____ As on (date):

7. Gender (Please tick one) ☐ Male ☐ Female ☐ Marital Status (Please tick one) ☐ Single ☐ Married ☐ Others ☐ Date of birth Nationality ☐ Indian ☐ Others (Please specify) _____
- Status (Please tick one) ☐ Resident ☐ Non Resident ☐ Foreign National ☐ Occupation (Please tick one) ☐ Private Sector ☐ Business ☐ Agriculturist ☐ Other ☐ ☐ Public Sector ☐ Professional ☐ Student ☐ [Please specify] ☐ Government Service ☐ Retired ☐ Housewife ☐
8. Please tick, if applicable ☐ Political Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)
9. Any other information: _____

BANK DETAILS (MANDATORY)

	Primary			Secondary		
Bank Account Type (Please tick one)	Savings ☐	Current ☐	Others (in case of NRI, NRE/NRO, please specify) ☐ _____	Savings ☐	Current ☐	Others (in case of NRI, NRE/NRO, please specify) ☐ _____
Bank Account No.						
Bank Name						
MICR Code						
IFSC Code						
Proof provided (Please tick the relevant box)	☐ Yes ☐ No			☐ Yes ☐ No		

Signature of Guardian: _____



CENTRAL KYC REGISTRY | CENTRAL KNOW YOUR CUSTOMER
(C-KYC) APPLICATION FORM | INDIVIDUAL

Important Instructions:

Fields marked with * are mandatory fields	List of State/UT Code as per Indian Motor Vehicles Act, 1988 is available at the end
Please fill the form in English and in BLOCK letters	List of two character ISO 3166 country codes is available at the end
Please fill the date in DD-MM-YYYY format	KYC number of applicant is mandatory for update Application.
Please read section wise detailed guidelines/ instructions at the end	For particular section update, please tick in the box available before the section number and strike off the sections not required to be updated

For Office use Only (to be filled by Financial Institution)	Application type* (Please tick one)		New ☐	Update ☐
	KYC No. (mandatory for KYC update request)			
	Account Type* (Please tick one)		Normal ☐	Simplified ☐ (for low risk customers)

1. PERSONAL DETAILS (Please refer instruction A at the end)

Name* (same as ID proof)

Prefix First Name Middle Name Last Name
Maiden Name (if any)

Prefix First Name Middle Name Last Name
Father's /Spouse's Name*

Prefix First Name Middle Name Last Name
Mother's Name*

Prefix First Name Middle Name Last Name

Date of Birth*

Gender* (Please tick one) Male ☐ Female ☐ Transgender ☐

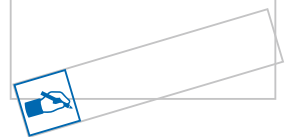
Marital Status* (Please tick one) Married ☐ Unmarried ☐ Others/ Divorced ☐

Citizenship* (Please tick one) IN - Indian ☐ Others ☐
(ISO 3166 Country Code)

Residential Status* (Please tick one) Resident Individual ☐ Non-Resident Individual (NRI) ☐
Foreign National ☐ Person of Indian Origin (PIO) ☐

Occupation Type* (Please tick one) Service: Private Sector ☐ Public Sector ☐ Government Sector ☐
Others: Professional ☐ Self-Employed ☐ Retired ☐
Housewife ☐ Student ☐ Business ☐
Not categorized (Please Specify _____)
Pan Card: _____

PHOTO with Signature
or thumb impression



2. RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end) (Please Tick if Applicable)

ADDITIONAL DETAILS REQUIRED* (mandatory only IF section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of residence*

Tax Identification Number or equivalent (if issued by jurisdiction)*

Place/City of Birth* _____

(ISO 3166 Country Code)*

3. **PROOF OF IDENTITY (PoI)*** (Please refer instruction C at the end)
(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

Passport Number:

--	--	--	--	--	--	--	--

Passport Expiry Date:

Driving License No.:

--	--	--	--	--	--	--	--

Driving License Expiry Date: DDMMYYYY

[illegible]

Aadhaar No. XXXXXXXX

[illegible]

National Population register letter: _____

4. **PROOF OF Address (PoA)*** (Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

4.1 CURRENT/PERMANENT/OVERSEAS ADDRESS DETAILS (Please refer instruction **D** at the end)

Address Type*

(Please tick one) Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified ☐

Proof of Address* Passport ☐ Driving License ☐ Aadhaar ☐ Voter ID ☐ NREGA Job Card ☐

(Please tick one) National Population register letter: ☐

Address – Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code* State/UT Code* ISO 3166 Country Code*

4.2 CORRESPONDENCE/LOCAL ADDRESS DETAILS* (Please refer instruction E at the end)

Same as Current/permanent Account/Overseas Address Details (In case of multiple correspondence/local addresses, please fill 'Annexure A1')

Address – Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code* State/UT Code* ISO 3166 Country Code*

4.3 ADDRESS OF THE JURISDICTION WHERE THE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if Section 2 is ticked)

☐ Same as Current/Permanent Account/Overseas ☐ Same as Correspondence/Local Address Details

Address - Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code* State/UT Code* ISO 3166 Country Code*

5. **CONTACT DETAILS** (All communications will be sent on provided Mobile no./Email-ID) (Please refer instruction F at the end)

[illegible]Fax:

--	--	--	--	--	--	--	--	--

Tel. (Res):

--	--	--	--	--	--	--	--	--

Mobile:

Email ID:

6. DETAILS OF RELATED PERSONS (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)Addition of Related Person ☐ Deletion of Related Person ☐KYC No. of Related person (if available): Related Person Type*: Guardian of Minor Applicant ☐ Assignee ☐ Authorized Representative ☐

Name*

Prefix

First Name

Middle Name

Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please see instruction H at the end)

Passport Number:

Passport Expiry Date:

Driving License No.:

Driving License Expiry Date:

Aadhaar No. (No. not to be mentioned) NREGA – Job card: National Population register letter: **7. REMARKS (IF ANY)****8. APPLICANT DECLARATION**

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 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. I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by NDML/CVL KRA only for the specific purpose of validating / maintaining / sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record. I/We hereby consent to receiving information from CVL/NDML KRA through SMS/Email on the above registered number/Email address. 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.

Date: Place: 

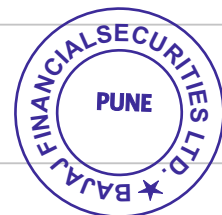
(Signature/Thumb Impression of First Holder)

9. ATTESTATION/FOR OFFICE USE ONLYDocuments Received ☐ Certified Copies ☐ E-KYC data received from UIDAI☐ Data Received from office verification ☐ Digital KYC process☐ Equivalent E document ☐ Video Basis KYC

KYC VERIFICATION CARRIED OUT BY:

Date: Employee Name : Employee Code: Employee Designation: Employee Branch: Employee Signature:

INSTITUTION DETAILS

Name: Code: Stamp/Seal
of the Institution

Important Instructions:

Fields marked with * are mandatory fields	List of State/UT Code as per Indian Motor Vehicles Act, 1988 is available at the end
Please fill the form in English and in BLOCK letters	List of two character ISO 3166 country codes is available at the end
Please fill the date in DD-MM-YYYY format	KYC number of applicant is mandatory for update Application.
Please read section wise detailed guidelines/ instructions at the end	For particular section update, please tick in the box available before the section number and strike off the sections not required to be updated

For Office use Only (to be filled by Financial Institution)	Application type* (Please tick one)		New ☐	Update ☐
	KYC No. (mandatory for KYC update request)			
	Account Type* (Please tick one)		Normal ☐	Simplified ☐ (for low risk customers)

1. PERSONAL DETAILS (Please refer instruction A at the end)

Name* (same as ID proof)

Prefix First Name Middle Name Last Name
Maiden Name (if any)

Prefix First Name Middle Name Last Name
Father's /Spouse's Name*

Prefix First Name Middle Name Last Name
Mother's Name*

Prefix First Name Middle Name Last Name

Date of Birth*

Gender* (Please tick one) Male ☐ Female ☐ Transgender ☐

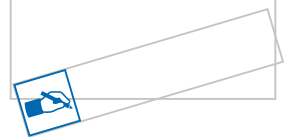
Marital Status* (Please tick one) Married ☐ Unmarried ☐ Others/ Divorced ☐

Citizenship* (Please tick one) IN - Indian ☐ Others ☐
(ISO 3166 Country Code)

Residential Status* (Please tick one) Resident Individual ☐ Non-Resident Individual (NRI) ☐
Foreign National ☐ Person of Indian Origin (PIO) ☐

Occupation Type* (Please tick one) Service: Private Sector ☐ Public Sector ☐ Government Sector ☐
Others: Professional ☐ Self-Employed ☐ Retired ☐
Housewife ☐ Student ☐ Business ☐
Not categorized (Please Specify _____)
Pan Card: _____

PHOTO with Signature
or thumb impression



2. RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end) (Please Tick if Applicable)

ADDITIONAL DETAILS REQUIRED* (mandatory only IF section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of residence*

Tax Identification Number or equivalent (if issued by jurisdiction)*

Place/City of Birth* _____

(ISO 3166 Country Code)*

3. **PROOF OF IDENTITY (PoI)*** (Please refer instruction C at the end)
(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

Passport Number:

--	--	--	--	--	--	--	--

Passport Expiry Date:

Driving License No.:

--	--	--	--	--	--	--	--

Driving License Expiry Date: DDMMYYYY

[illegible]

Aadhaar No. XXXXXXXX

[illegible]

National Population register letter: _____

4. **PROOF OF Address (PoA)*** (Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

4.1 CURRENT/PERMANENT/OVERSEAS ADDRESS DETAILS (Please refer instruction D at the end)

Address Type*

(Please tick one) Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified ☐

Proof of Address* Passport ☐ Driving License ☐ Aadhaar ☐ Voter ID ☐ NREGA Job Card ☐

(Please tick one) National Population register letter: ☐

Address – Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code* State/UT Code* ISO 3166 Country Code*

4.2 CORRESPONDENCE/LOCAL ADDRESS DETAILS* (Please refer instruction E at the end)

Same as Current/permanent Account/Overseas Address Details (In case of multiple correspondence/local addresses, please fill 'Annexure A1')

Address – Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code* State/UT Code* ISO 3166 Country Code*

4.3 ADDRESS OF THE JURISDICTION WHERE THE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if Section 2 is ticked)

☐ Same as Current/Permanent Account/Overseas ☐ Same as Correspondence/Local Address Details

Address – Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code* State/UT Code* ISO 3166 Country Code*

5. **CONTACT DETAILS** (All communications will be sent on provided Mobile no./Email-ID) (Please refer instruction F at the end)

[illegible]Fax:

--	--	--	--	--	--	--	--	--

Tel. (Res):

--	--	--	--	--	--	--	--	--

Mobile:

Email ID:

6. DETAILS OF RELATED PERSONS (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)Addition of Related Person ☐ Deletion of Related Person ☐KYC No. of Related person (if available): Related Person Type*: Guardian of Minor Applicant ☐ Assignee ☐ Authorized Representative ☐

Name*

Prefix

First Name

Middle Name

Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please see instruction H at the end)

Passport Number:

Passport Expiry Date:

Driving License No.:

Driving License Expiry Date:

Aadhaar No. (No. not to be mentioned) NREGA – Job card: National Population register letter: **7. REMARKS (IF ANY)****8. APPLICANT DECLARATION**

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 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. I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by NDML/CVL KRA only for the specific purpose of validating / maintaining / sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record. I/We hereby consent to receiving information from CVL/NDML KRA through SMS/Email on the above registered number/Email address. 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.

Date: Place: 

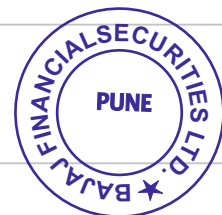
(Signature/Thumb Impression of First Holder)

9. ATTESTATION/FOR OFFICE USE ONLYDocuments Received ☐ Certified Copies ☐ E-KYC data received from UIDAI☐ Data Received from office verification ☐ Digital KYC process☐ Equivalent E document ☐ Video Basis KYC

KYC VERIFICATION CARRIED OUT BY:

Date: Employee Name : Employee Code: Employee Designation: Employee Branch: Employee Signature:

INSTITUTION DETAILS

Name: Code: Stamp/Seal
of the Institution

GENERAL INSTRUCTIONS

- Fields marked with '*' are mandatory fields.
- Tick '✓' wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.)
- For particular section update, please tick in the box available before the section number and strike off the sections not required to be updated.
- In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A. Clarification/guidelines on filling 'Personal Details' section

- Name: Please state the name with prefix (Mr./Mrs./Ms./Dr./etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B. Clarification/guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C. Clarification/guidelines on filling 'Proof of Identity [PoI] section

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification/reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D. Clarification/guidelines on filling 'Proof of Address [PoA] - Current/Permanent/Overseas Address details' section

- 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.
- State/U.T Code and Pin/Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill)
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (ppOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E. Clarification/guidelines on filling 'Proof of Address [PoA] - Correspondence/Local Address details' section

- To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- In case of multiple correspondence/local addresses, Please fill 'Annexure A1'

F. Clarification/guidelines on filling 'Contact details' section

- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile number.

G. Clarification/guidelines on filling 'Related Person details' section

- Provide KYC number of related person, if available.

H. Clarification/guidelines on filling 'Related Person details- Proof of Identity [PoI] of Related Person' section

- Mention identification/reference number if 'Z- Others (any document notified by the central government)' is ticked.

List of two – digit state/U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State/U.T	Code	State/U.T	Code	State/U.T	Code
Andaman & Nicobar	AN	Goa	GA	Maharashtra	MH	Tamil Nadu	TN
Andhra Pradesh	AP	Gujarat	GJ	Manipur	MN	Telangana	TS
Arunachal Pradesh	AR	Haryana	HR	Meghalaya	ML	Tripura	TR
Assam	AS	Himachal Pradesh	HP	Mizoram	MZ	Uttar Pradesh	UP
Bihar	BR	Jammu & Kashmir	JK	Nagaland	NL	Uttarakhand	UA
Chandigarh	CH	Jharkhand	JH	Orissa	OR	West Bengal	WB
Chattisgarh	CG	Karnataka	KA	Pondicherry	PY	Other	XX
Dadra & Nagar Haveli	DN	Kerala	KL	Punjab	PB		
Daman & Diu	DD	Lakshadweep	LD	Rajasthan	RJ		
Delhi	DL	Madhya Pradesh	MP	Sikkim	SK		

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP		
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL		
Brazil	BR	Guyana	GY	New Caledonia	NC		
British Indian Ocean	IO	Haiti	HT	New Zealand	NZ		

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Territory		Heard Island and	HM	Nicaragua	NI	Tajikistan	TJ
Brunei Darussalam	BN	McDonald Islands		Niger	NE	Tanzania, United	TZ
Bulgaria	BG	Holy See	VA	Nigeria	NG	Republic of	
Burkina Faso	BF	(Vatican City State)		Niue	NU	Thailand	TH
Burundi	BI	Honduras	HN	Norfolk Island	NF	Timor-Leste	TL
Cabo Verde	CV	Hong Kong	HK	Northern Mariana	MP	Togo	TG
Cambodia	KH	Hungary	HU	Islands		Tokelau	TK
Cameroon	CM	Iceland	IS	Norway	NO	Tonga	TO
Canada	CA	India	IN	Oman	OM	Trinidad and Tobago	TT
Cayman Islands	KY	Indonesia	ID	Pakistan	PK	Tunisia	TN
Central African Republic	CF	Iran, Islamic	IR	Palau	PW	Turkey	TR
Chad	TD	Republic of		Palestine, State of	PS	Turkmenistan	TM
Chile	CL	Iraq	IQ	Panama	PA	Turks and Caicos Islands	TC
China	CN	Ireland	IE	Papua New Guinea	PG	Tuvalu	TV
Christmas Island	CX	Isle of Man	IM	Paraguay	PY	Uganda	UG
Cocos (Keeling) Islands	CC	Israel	IL	Peru	PE	Ukraine	UA
Colombia	CO	Italy	IT	Philippines	PH	United Arab Emirates	AE
Comoros	KM	Jamaica	JM	Pitcairn	PN	United Kingdom	GB
Congo	CG	Japan	JP	Poland	PL	United States	US
Congo, the Democratic	CD	Jersey	JE	Portugal	PT	United States Minor	UM
Republic of the		Jordan	JO	Puerto Rico	PR	Outlying Islands	
Cook Islands	CK	Kazakhstan	KZ	Qatar	QA	Uruguay	UY
Costa Rica	CR	Kenya	KE	Reunion !Réunion	RE	Uzbekistan	UZ
Cote d'Ivoire Côte d'Ivoire	CI	Kiribati	KI	Romania	RO	Vanuatu	VU
Croatia	HR	Korea, Democratic	KP	Russian Federation	RU	Venezuela, Bolivarian	VE
Cuba	CU	People's Republic of	KR	Rwanda	RW	Republic of	
Curacao !Curaçao	CW	Korea, Republic of	KW	Saint Barthelemy !	BL	Viet Nam	VN
Cyprus	CY	Kuwait	KG	Saint Barthélemy		Virgin Islands, British	VG
Czech Republic	CZ	Kyrgyzstan	LA	Saint Helena, Ascension	SH	Virgin Islands, U.S.	VI
Denmark	DK	Lao People's	LV	and Tristan da Cunha		Wallis and Futuna	WF
Djibouti	DJ	Democratic Republic	LB	Saint Kitts and Nevis	KN	Western Sahara	EH
Dominica	DM	Latvia	LS	Saint Lucia	LC	Yemen	YE
		Lebanon	LR	Saint Martin	MF	Zambia	ZM
		Lesotho		(French part)		Zimbabwe	ZW
		Liberia					

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, By- 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. (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,
- a. 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.
- b. 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 By-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.
25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

26. 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

27. 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

28. 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, By-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.
29. 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 By-Laws of the relevant Depository, where the Beneficial Owner maintains his/her account, that may be in force from time to time.
30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the By-Laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
31. 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, By-Laws and Regulations and circulars/notices issued there under by the depository and/or SEBI.
32. 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.
33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or By-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.

Additional Rights And Obligations

34. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute DDPI.

RIGHTS AND OBLIGATIONS OF STOCK BROKERS AND CLIENTS AS PRESCRIBED BY SEBI AND STOCK EXCHANGES

M Mandatory

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, 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. Requirements of professional diligence
 - a. The Member must exercise professional diligence while entering into a financial contract or discharging any obligations under it.
 - b. "professional diligence" means the standard of skill and care that a Member would be reasonably expected to exercise towards a Client, commensurate with-
 - i. honest market practice;
 - ii. the principle of good faith;
 - iii. level of knowledge, experience and expertise of the Client;
 - iv. the nature and degree of risk embodied in the financial product* or financial service being availed by the Client; and
 - v. the extent of dependence of the Client on the Member.
- *Commodity derivative contract
7. The Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).

CLIENT INFORMATION

8. 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.
9. 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.
10. 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.
11. The stock 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

12. 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.
13. 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

14. 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.
15. 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.
16. 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.
17. 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).

18. 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

19. 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

20. 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.
21. 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.
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 conciliation/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 dispute through conciliation/arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the conciliation report/settlement agreement /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 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.

ADDITIONAL RIGHTS AND OBLIGATIONS

29. 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.
30. 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.
31. 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.

32. 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.
33. 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.
34. 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.
35. 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.
36. 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.
- I. 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.
- II. 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 either a physical contract note to the client or an ECN through electronic instant messaging services within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
- III. 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

- IV. In addition to the specific rights set out in this document, the stock 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.
- V. 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.
- VI. The stock broker and the client shall abide by conciliation report/settlement agreement/arbitration award passed by the conciliator/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.
- VII. 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.
- VIII. 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.
40. 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.

41A. Protection from unfair terms in financial contracts**

- a. An unfair term of a non-negotiated contract will be void.
- b. A term is unfair if it -
 - i. causes a significant imbalance in the rights and obligations of the parties under the financial contract, to the detriment of the Client; and
 - ii. is not reasonably necessary to protect the legitimate interests of the Member.
- c. The factors to be taken into account while determining whether a term is unfair, include -
 - i. the nature of the financial product or financial service dealt with under the financial contract;
 - ii. the extent of transparency of the term;

****contracts offered by commodity exchanges**

- iii. the extent to which the term allows a Client to compare it with other financial contracts for similar financial products or financial services; and
- iv. the financial contract as a whole and the terms of any other contract on which it is dependent.
- d. A term is transparent if it -
 - i. is expressed in reasonably plain language that is likely to be understood by the Client;
 - ii. is legible and presented clearly; and
 - iii. is readily available to the Client affected by the term.
- e. If a term of a financial contract is determined to be unfair the parties will continue to be bound by the remaining terms of the financial contract to the extent that the financial contract is capable of enforcement without the unfair term.

41B.

- a. "Non-negotiated contract" means a contract whose terms, are not negotiated between the parties to the financial contract and includes -
 - i. a financial contract in which, relative to the Client, the Member has a substantially greater bargaining power in determining terms of the financial contract; and
 - ii. a standard form contract.
- b. "Standard form contract" means a financial contract that is substantially not negotiable for the Client.
- c. Even if some terms of a financial contract are negotiated in form, the financial contract may be regarded as a non-negotiated contract if so indicated by -
 - i. an overall and substantial assessment of the financial contract; and
 - ii. the substantial circumstances surrounding the financial contract
- d. In a claim that a financial contract is a non-negotiated contract, the onus of demonstrating otherwise will be on the Member.

41C.

- a. The above does not apply to a term of a financial contract if it -
 - i. defines the subject matter of the financial contract;
 - ii. sets the price that is paid, or payable, for the provision of the financial product or financial service under the financial contract and has been clearly disclosed to the Client; or
 - iii. is required, or expressly permitted, under any law or regulations.
- b. The exemption does not apply to a term that deals with the payment of an amount which is contingent on the occurrence or non-occurrence of any particular event.

42A. Protection of personal information and confidentiality

- a. "Personal information" means any information that relates to a Client or allows a Client's identity to be inferred, directly or indirectly, and includes -
 - i. name and contact information;
 - ii. biometric information, in case of individuals
 - iii. information relating to transactions in, or holdings of, financial products
 - iv. information relating to the use of financial services; or
 - v. such other information as may be specified.

42B

- a. A Member must -
 - i. not collect personal information relating to a Client in excess of what is required for the provision of a financial product or financial service;
 - ii. maintain the confidentiality of personal information relating to Clients and not disclose it to a third party, except in a manner expressly permitted.
 - iii. make best efforts to ensure that any personal information relating to a Client that it holds is accurate, up to date and complete;
 - iv. ensure that Clients can obtain reasonable access to their personal information, subject to any exceptions that the Regulator may specify; and
 - v. allow Clients an effective opportunity to seek modifications to their personal information to ensure that the personal information held by the Member is accurate, up to date and complete.
- b. A Member may disclose personal information relating to a Client to a third party only if -
 - i. it has obtained prior written informed consent of the Client for the disclosure
 - ii. the Client has directed the disclosure to be made;
 - iii. the Regulator has approved or ordered the disclosure, and unless prohibited by the relevant law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
 - iv. the disclosure is required under any law or regulations, and unless prohibited by such law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
 - v. the disclosure is directly related to the provision of a financial product or financial service to the Client, if the Member -
 - 1. informs the Client in advance that the personal information may be shared with a third party; and
 - 2. makes arrangements to ensure that the third party maintains the confidentiality of the personal information in the same manner as required under this Part; or
 - vi. the disclosure is made to protect against or prevent actual or potential fraud, unauthorised transactions or claims, if the Member arranges with the third party to maintain the confidentiality of the personal information in the manner required under this Part. -
- c. "Third party" means any person other than the concerned Member, including a person belonging to the same group as the Member.

42C. Requirement of fair disclosure both initially and on continuing basis

- a. Member must ensure fair disclosure of information that is likely to be required by a Client to make an informed transactional decision.
- b. In order to constitute fair disclosure, the information must be provided –
 - i. sufficiently before the Client enters into a financial contract, so as to allow the Client reasonable time to understand the information;
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to a particular category; and
 - iii. in a manner that enables the Client to make reasonable comparison of the financial product or financial service with other similar financial products or financial services.
- c. The types of information that must be disclosed to a Client in relation to a financial product or financial service, which may include information regarding –
 - i. main characteristics of the financial product or financial service, including its features, benefits and risks to the Client;
 - ii. consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
 - iii. existence, exclusion or effect of any term in the financial product or financial contract;
 - iv. nature, attributes and rights of the Member, including its identity, regulatory status and affiliations;
 - v. contact details of the Member and the methods of communication to be used between the Member and the Client;
 - vi. rights of the Client to rescind a financial contract within a specified period; or
 - vii. rights of the Client under any law or regulations.

42D.

- a. Member must provide a Client that is availing a financial product or financial service provided by it, with the following continuing disclosures –
 - i. any material change to the information that was required to be disclosed at the time when the Client initially availed the financial product or financial service;
 - ii. information relating to the status or performance of a financial product held by the Client, as may be required to assess the rights or interests in the financial product or financial service; and
 - iii. any other information that may be specified.
- b. A continuing disclosure must be made –
 - i. within a reasonable time-period from the occurrence of any material change or at reasonable periodic intervals, as applicable; and
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to that category.

43. A. Suitability of advice for the Client Right to receive advice that is suitable taking into account the relevant personal circumstances of the Client, such as the Clients financial circumstances and needs. This obligation would apply to persons who render advice to Clients and the regulator may specify categories of financial products and service that necessarily require such advice to be given.

- a. A Member must –
 - i. make all efforts to obtain correct and adequate information about the relevant personal circumstances of a Client; and
 - ii. ensure that the advice given is suitable for the Client after due consideration of the relevant personal circumstances of the Client.
- b. If it is reasonably apparent to the Member that the available information regarding the relevant personal circumstances of a Client is incomplete or inaccurate, the Member must warn the Client of the consequences of proceeding on the basis of incomplete or inaccurate information.
- c. If a Client intends to avail of a financial product or financial service that the Member determines unsuitable for the Client, the Member
 - i. must clearly communicate its advice to the Client in writing and in a manner that is likely to be understood by the Client; and
 - ii. may provide the financial product or financial service requested by the Client and obtaining a written acknowledgment from the Client.

44. Dealing with conflict of interest In case of any conflict between the interests of a Client and that of the Member, preference must be given to the Client interests.

- a. A member must –
 - i. provide a Client with information regarding any conflict of interests, including any conflicted remuneration that the Member has received or expects to receive for making the advice to the Client; and
 - ii. give priority to the interests of the Client if the Member knows, or reasonably ought to know, of a conflict between –
 - 1. its own interests and the interests of the Client; or
 - 2. the interests of the concerned Member and interests of the Client, in cases where the Member is a financial representative.
- b. The information must be given to the Client in writing and in a manner that is likely to be understood by the Client and a written acknowledgment of the receipt of the information should be obtained from the Client.
- c. In this section, “conflicted remuneration” means any benefit, whether monetary or non-monetary, derived by a Member from persons other than Clients that could, under the circumstances, reasonably be expected to influence the advice given by the Member to a Client.

1. Definitions:

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

- a. "Depository" means Central Depository Services Limited (CDSL).
 - b. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - c. "Service Provider" means a cellular service provider(s) with whom the Depository has entered/shall enter into an arrangement for providing the TRUST service to the BO.
 - d. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - e. "Third Party" means the operators with whom the Service Provider is having/will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his/her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP/CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert SMART facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed/made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member registered by the BO for TRUST, enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
 13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
 14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
 15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
 16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
 17. Indemnity: In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
 18. Disclaimer: Depository shall be absolved of any liability in case:
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

The client is desirous to open a trading account with Bajaj Financial Securities Limited ("BFSL") and has/have read and understood the Rights and Obligations, Risk Disclosure Document and Guidance Note as provided in this form. As required by the SEBI, the following are the policies and procedures, with respect to certain aspects/areas, for availing securities trading services through BFSL. The following policies and procedures are without prejudice to other terms and conditions, as specified and/or may be specified from time to time, by BFSL and agreed by the constituent in the voluntary documents.

- A) **Refusal of Orders for Penny Stock:** BFSL may from time to time, limit/refuse orders in one or more securities which are not in the permitted list of securities of BFSL/Stock Exchanges/SEBI or in the list of illiquid securities of the Stock Exchanges (hereinafter referred to as the "Penny Stocks"). BFSL may require the client for compulsory settlement/payment in advance of the estimated settlement value/securities prior to acceptance of orders for trading in such Penny Stocks. Further, the Stock broker shall not be liable to any loss, damage, expense which may occur to the client due to refusal to trade by BFSL in such Penny Stocks. Further, the Stock broker may require reconfirmation/explanation from the clients for orders of the securities which are larger than that specified by the risk management policy of BFSL. The execution of such orders shall be at the discretion of BFSL.
- B) **Setting up of clients Exposure Limit:** The client agrees and confirms to abide by the exposure limits, if any, set by BFSL or by the Stock Exchange or Clearing Corporation or SEBI from time to time. BFSL may from time to time, at its sole discretion, impose and vary limits on the orders that the client can place through the BFSL's website (including but not limited to exposure limits, turnover limits, limits as to the number, value and/or kind of securities/contracts in respect of which buy or sell orders can be placed etc). The client is aware and agrees that BFSL may need to vary or reduce the limits or impose new limits urgently on the basis of BFSL's risk perception and other factors considered relevant by BFSL and BFSL may be unable to inform to the client of such variation, reduction, imposition in advance. The client agrees that BFSL shall not be responsible for such variation, reduction and imposition of limits. The client understands and agrees that BFSL may, as a risk containment measure, at any time at its sole discretion and without prior notice prohibit or restrict the client's ability to place orders or trade in all of some of the securities/contracts through BFSL. The client further understands that BFSL may include such a feature in any of the products offered through the website for trading.
- C) **Brokerage and other charges:**
- (i) The client confirms and agrees that the brokerage shall be paid in the manner intimated by BFSL to the client from time to time, including as a percentage of the value of the trade or as a flat fee or otherwise, together with the goods and services tax (GST) as may be applicable from time to time on the same. The client further agrees to pay any applicable taxes including the securities transaction tax, duties and levies as may be levied on the transaction from time to time.
 - (ii) BFSL shall debit the charges of the depository participant for the trades and the bank charges for the realization of cheques etc. to the client's account.
 - (iii) **User Fees/Other Charges:** The client agrees that BFSL or any of its affiliates may charge user fees for the use of any other services including but not restricted to Internet Trading ancillary services, use of the website platform and the call and trade services at rates mentioned on the website or otherwise intimated and as modified from time to time including but not limited to the following:
The client agrees and confirms that BFSL shall have right to debit the following charges to the account of the client:
 - a. Trading account opening charges;
 - b. Bank charges for clearance of cheque;
 - c. Charges for availing research reports, whensoever provided;
 - d. Charges of availing special facility for mobile broking, SMS facility;
 - e. Inter-settlement charges;
 - f. Auction charges;
 - g. Penalties levied by the Exchange for client limit violations or for any reason attributable to any error, omission or commission or any act, deed or thing omitted or committed by the client;
 - h. Charges for dishonor of cheque(s) given by the client;
 - i. Late payment charges, if any;
 - j. Any other charges for the special services /facilities availed by the client and / or for any other amount due
- D) **Imposition of Penalty/Delayed Payment Charges (DPC):**
- DPC shall be applicable in case the account is in debit balance. In such case, BFSL shall be entitled to levy interest upto 24% p.a. plus taxes (if any as per applicable laws) on the debit balance of the client. BFSL can charge the interest under DPC or any other header at its sole discretion.
 - The Client is required to maintain an adequate margin with the BFSL, out of which a minimum of 50% shall be in the form of cash component and the remaining in the form of BFSL approved securities and / or in any manner prescribed by BFSL from time to time
 - DPC shall be charged in case of following scenarios, as the same results in allocation/ utilization of proprietary collateral of BFSL:

- i. any shortfall in maintenance of margins in the form of BFSL approved securities,
- ii. non-maintenance of minimum 50% cash component by the Client, and
- iii. utilization of margin exceeding 90% of the available Client collateral.
- iv. Any other criteria as may be prescribed

The client further confirms and agrees that any amounts which are overdue from the client or a member of the client's family towards trading either in the cash or derivative segments or on account of any other reason to BFSL, will be charged delayed payment charges at the rate of 2% per month or such other rate as maybe determined by BFSL. The client hereby authorises BFSL to directly debit the same to the account of the client at such periods as may deem fit by BFSL. The client also authorises BFSL to debit charges for depository services availed from BFSL to the trading account. The client also agrees that any amount overdue from him/it (including the interest on delayed payment) shall be adjusted by BFSL from dues owed to the client.

In case of any exposure availed by the Client on the Securities pledged to BFSL, with appropriate hair cut for margin purpose, but has to deploy its funds for meeting margin requirements of the client at the Exchange, for reasons such as, the Securities are not accepted by the Clearing Corporation or the Securities are accepted by the Clearing Corporation but the margin benefit (initial margin/other margins etc.) is not passed on to BFSL, BFSL shall levy interest or delayed payment charge on debit balance upto 24% p.a. plus taxes (if any as per applicable laws) to client. BFSL can charge the interest under DPC or any other head at its sole discretion.

In the event of any show cause notice/orders issued by any Regulatory or Statutory authorities to BFSL on account of any non-compliance or violation of any applicable laws, regulation by the Client, BFSL shall be entitled to withhold the pay-out of funds and/or Securities, debit the account to the extent of actual/indicative penalty levied by such authority, along with applicable taxes. Further, BFSL may at its sole discretion, be entitled to not permit any trading margin on such Securities/funds withheld by BFSL. BFSL shall also be entitled to liquidate the available Securities to recover its dues.

E) The right to sell client's securities or close clients positions, without giving notice to the client, on account of non-payment of client's dues:

The client shall ensure timely availability of funds/securities in designated form and manner on or before designated time and in designated bank and demat accounts at designated place for meeting his/her pay-in/margin obligations. BFSL shall not be responsible for any claim/loss/damage arising out of non-availability/shortage of funds/securities by the client in designated accounts of BFSL for meeting the pay-in/margin obligation of either funds or securities. BFSL has the right but not the obligation, to cancel all pending orders and to sell/close out/liquidate all open positions/securities at the predefined square off time. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position gets converted into delivery due to non-square off, the client agrees to provide securities/funds to fulfill pay-in/margin obligation failing which the client will have to bear the cost/damage/loss or any other expense as result of auction or internal close outs; in addition to that the client will have to pay penalties and charges, if any, levied by the Stock Exchange(s). BFSL is entitled to prescribe the date and time by which the margin/securities is to be made available and BFSL may refuse to accept any payments in any form after such deadline. Notwithstanding anything to the contrary in this document, if the client fails to maintain or provide the required margin/fund/securities or to meet the funds/margin/securities pay-in obligation for any orders/trades on any Stock Exchange, BFSL shall have the right without any further notice or communication to the client to:

- a. Withhold any pay-out of funds/securities to the extent of default made by the client;
- b. Withhold/disable the trading account of the client; and
- c. Liquidate one or more positions/securities of the client to the extent of default made by the client.

F) Shortage in obligations arising out of internal netting of trades: BFSL as member of the exchange delivers / receives securities to/ from the clearing corporation on net obligation basis in respect of a settlement. In such a process, if a client, who has sold securities, short delivers the securities, which are to be delivered to another client of BFSL, who has bought the same security, it is treated as internal shortage of securities. In case of internal shortages on pay in day, the settlement shall be carried out by BFSL as per Internal Shortage Policy of BFSL (as amended from time to time) available on its website or as per the Auction mechanism prescribed by the Exchange/ clearing corporation from time to time.

G) Conditions under which a client may not be allowed to take further position: when (i) ledger reflects continuous debit balance; (ii) inadequacy of margin; (iii) any other outstanding dues; and (iv) further position in the given scrip is prohibited by the Exchange and/or as per the discretion of BFSL.

H) Temporarily suspending of client's account: The client may request the Stock broker to temporarily suspend his account, and BFSL may do so subject to the client accepting/adhering to conditions imposed by BFSL, including but not limited to settlement of account and/or other obligation.

I) Closure of client's account: On receipt of specific written request from the client and settlement of all outstanding dues, a client's trading account can be closed. Online closure of accounts shall be in accordance with the guidelines issued by Exchange from time to time.

J) De-registration of the client: Without prejudice to BFSL's rights, BFSL may forthwith, at its sole and absolute discretion, de-register the client with/without prior notice/intimation in the following circumstances:

- (i) Where the client indulges in any irregular trading activities like synchronized trading, price manipulation, trading in

illiquid securities/options/contracts, self trades, trading in securities at prices significantly away from market prices, etc.;

- (ii) Any enquiry/investigation is initiated by the Exchanges/regulators against the client;
- (iii) Any regulatory action taken/initiated against the client by the Exchanges/regulators including but not limited to debarring the client from accessing the capital market;
- (iv) Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges (where no information other than name is available);
- (v) Name of the client appears as a defaulter in database/websites of CIBIL, etc.;
- (vi) The client having suspicious background or link with suspicious organization;
- (vii) Where the client is non-traceable, has pending disputes with BFSL, possibility of a default by the client;
- (viii) Any other circumstances leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of "No such person/Addressee left /Refusal to accept mails, etc.", continues cheque bouncing, or not furnishing the financial and other details as may be called for by BFSL from time to time, etc.;
- (ix) Upon receipt of written information about the death of the client;
- (x) Such other circumstances which in the sole opinion of BFSL warrants to de-register the client.

In all such case, BFSL shall have the right to close out the existing open positions/contracts, sell/liquidate the margin (in any form) to recover its dues, if any, before de-registering the client. BFSL shall not be liable to the client for any loss or damage (actual/notional), which may be caused to the client as a result. Also while de-registering the client, BFSL may retain certain amount/securities due/belonging to the client for meeting any future losses, liability, penalties, etc. arising out of dealing of the client with BFSL. In case if any securities retained by BFSL is sold/liquidated to recover any such losses, liability, penalties, etc., BFSL shall have the sole authority to decide the mode, manner and the price at which to effect the sale of securities and the client shall not raise any dispute as to the manner, mode and the price at which the securities are sold by BFSL.

In any of the above circumstances, if the client is able to justify his/her/its innocence either by producing any legally acceptable record, document or otherwise to the full satisfaction of BFSL, BFSL may at its sole discretion, reconsider its decision to de-register the client. However, in no circumstances any action taken by BFSL till the date of re- registration shall be challenged by the client and BFSL shall not be liable to the client for any loss or damage (actual/notional), which may be caused to the client as a result.

K) Inactive and Dormant client Account:

- I. Inactive client means a client which has not traded or carried out any of the below activities in last 24 months.
Activities which will be considered for not flagging client as Inactive:
 - 1. Transaction in IPO/SGB/MF. Only successful bids/investments to be considered.
 - 2. Trading or participation in OFS/buy-back/Open Offer across any Exchange/segment.
 - 3. Modification/ updation of personal details (e-mail Id/Mobile Number/Address) and the same has been uploaded to KRA
- II. Dormant client has to update the KYC details as per the BFSL Policy or Exchange norms issued from time to time to activate the account.

L) Client Acceptance of Policies and Procedures stated hereinabove: I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses

this document any circumstances what so ever. These Policies and Procedures may be amended/changed unilaterally by the broker, provided the change is informed to me/us with through anyone or more means or methods such as post/speed post/courier/registered post/registered AD/facsimile/telegram/cable/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department/the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/ us and stock broker before any court of law/judicial/adjudicating authority including arbitrator/ mediator etc.

(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.

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 Futures & options Commodity 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 Commodity derivatives contract so the transactions are 'leveraged' or 'geared'. Commodity 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 Commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in Commodity 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 & options Commodity 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.

4.3 Deposited cash and property:

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a stock broker become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.

4.4 Commission and other charges:

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

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.exchange.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 Authorised Person. 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 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/Authorised Person 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/Authorised Person 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.

Don'ts

1. Do not deal with any unregistered intermediaries.
2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
3. Do not enter into assured returns arrangement with any Member
4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/ implicit promise of returns, etc.
5. Do not make payments in cash/ take any cash towards margins and settlement to/ from the Member.
6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
7. Do not neglect to set out in writing, orders for higher value given over phone.
8. Do not accept unsigned/duplicate contract note/confirmation memo.
9. Do not accept contract note/confirmation memo signed by any unauthorized person.
10. Don't share your internet trading account's password with anyone
11. Do not delay payment/deliveries of commodities to Member.
12. Do not forget to take note of risks involved in the investments.
13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities, deposits and/or keep them with Depository Participants (DP) or member to save time.
14. Do not pay brokerage in excess of that rates prescribed by the Exchange
15. Don't issue cheques in the name of Authorized Person.

UNDERTAKING

- 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.Exchange.com and SEBI website www.sebi.gov.in.
- Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
- Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
- 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.
- 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.
- Obtain a copy of all the documents executed by you from the stock broker free of charge.
- In case you wish to execute DPPI 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.

Client Signature
(In case of Non Individual,
please affix stamp)

Signature:



Name: _____

Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Place: _____

EQUITY, DERIVATIVE & CURRENCY TRADING TARIFF SHEET

TARIFF STRUCTURE								
Transaction Type	Equity Cash		Equity F & O		Currency		Commodity	
	Intraday	Delivery	Futures	Options (per lot)	Futures	Options (per lot)	Futures	Options (per lot)
Brokerage Rate (%)								

Other Charges

Particulars	Charges
Annual platform / Subscription Fee Annual platform / subscription fee will be charge on quarterly basis along with applicable GST This amount will be not Refundable	
Delivery Instruction Slip / CMR	First CMR / DIS request is free post that Rs. 50/- + GST
Cheque Bounce/Cancellation/Return	Rs. 1000/- per Bounce + GST
Physical Contract note and courier delivery charges	Rs. 50/- per contract note + applicable courier charges
Net Banking charges	Rs. 10/- per transaction + GST

Terms and Conditions

- SEBI Turnover Fees, STT, CTT, Goods and Service Tax (GST), Risk Management fees, Stamp Duty, & Transaction Charges will be levied separately from brokerage as applicable from time to time.
- In addition to the mentioned above, other charges levied on account of Issue of Duplicate Statements, Interest Charges etc. may be recovered from your account.
- Bajaj Financial Securities Limited reserves the rights to change the brokerage as well as other tariff from time to time under intimation to client.
- Client is required to maintain an *adequate* margin with the Bajaj Financial Securities Limited. Client is required to maintain minimum of 50% margin in the form of cash of the overall margin requirement. Any shortfall in non-maintenance of 50% cash margin will result in interest being charged to client. Bajaj Financial Securities Limited can charge the interest under DPC or any other header at its sole discretion.
- Delay payment charges (DPC) at the rate of 24% per annum will be applicable in case if the account is in debit balance DPC will be levied on a monthly basis.
- MTF interest rate (if opted for) 0.05% per day and interest will be levied on a monthly basis.
- If the contract note is not delivered, a Secure link to download the contract note will be sent via WhatsApp
- Call and Trade Charges applicable at the rate of Rs. 20 per executed order. Call and Trade Charges includes RMS square off Charges.

DEPOSITORY TARIFF SHEET

Particulars	Description
Account Opening	NIL
Annual Maintenance Charges	NIL
Early Pay-in Charges	Rs. 35 OR 0.0002% whichever is higher.
Off Market Transfer within BFsL	Rs. 50 OR 0.0002% whichever is higher
Off Market Transfer outside BFsL	Rs. 50 OR 0.02% whichever is higher
Dematerialisation	Rs. 100/- Per Request + Rs. 100/- per certificate
Rematerialisation	Rs. 35 per certificate or per 100 shares and part there of whichever is higher and Rs. 25 per re-state of statement of account redemption + GST
Pledge	Rs. 40
Unpledge	Rs. 40
Invocation	Rs. 50
Margin Pledge	Rs. 20
Margin Unpledge / Invocation	Rs. 20
MTF Pledge	Rs. 25
MTF Unpledge / Invocation	Rs. 25
*All charges exculding GST.	(The settlement charges by NSDL are Rs.4.00 and CDSL are charging Rs. 3.50)

- The first year, Annual platform / subscription fee will be charged on pro rata basis from the month of account opening. Subsequently, It will be charged annually in the month of April for next financial year.
- In case the account is closed during the year, AMC for the remaining quarter ending upto December will be refunded to the client.
- Rates are subject to revision from CDSL/NSDL. DP reserves the right to amend the tariff at any given point of time. Goods and Service Tax (GST) will be charged extra as per regulation.
- Minimum Brokerage per order of Rs. 25 (Subject to maximum of 2.5%) or maximum slab as per regulatory guide line will be levied.
- Rs.50/- will be charged to client for new DIS book.
- Rs.50/- will be charged toward per Demat rejection case.
- Currently, I/We want to open regular Demat account. I/We aware that my/our regular Demat account will be converted to BSDA as per SEBI circular No. CIR/MRD/DP/20/2015 dated 11th December 2015 at the end of billing cycle if the same is eligible for the BSDA as per SEBI guideline. Despite this, in subsequent years, I/We hereby request you to allow me/us to continue the said demat account under normal scheme as availed by me/us at the time of Account Opening/Modified (if any) to avail regular DP services. If I/we wish to convert the said demat account to BSDA, I/we shall intimate the same to Bajaj Financial Securities Limited.
- I/we are aware of BSDA (Basic Service Demat Scheme) facility as per SEBI Circular No. CIR/MRD/DP/22/2012 dated 27th August 2012. If I wish to open the Demat account under BSDA scheme then I/We will make a separate request to avail the same services.
- BSDA scheme is applicable only for Individual clients.
- Bajaj Financial Securities Limited reserves the rights to change the Brokerage as well as other tariff from time to time under intimation to client. You may check the prevailing rate applicable to you through your secured client login.
- Bajaj Financial Securities Limited reserves the right to freeze Demat account for debit transactions in case account holder(s) fail to pay service charges by due date mentioned in bills or do not maintain adequate balance in Account for the same as the case may be. There will be charge applicable to the tune of Rs. _____ for resumption of services. The services will be resumed after a minimum of _____ days from the date of receipt of request received at a Depository's (CDSL/NSDL) office.
- Details of your secured login will be given in Welcome Letter/email send to you upon activation of your account with Bajaj Financial Securities Limited.
- I/We authorise Bajaj Financial Securities Limited to collect my/our DP charges from my trading account.
- For Electronic Delivery through MCX / NCDEX client need to open separate respective COMRIS / COMTRACK / NERL / CCRL / EDCM account with participant. Separate charges with applicable taxes if any will be debited in client's ledger account
- In case of intra day transaction in Security/ Commodity contract first leg rates as above shall be charged on the buy value or sell value depending upon whichever is higher and second leg rates shall be charged vice versa.
- Commission of Clearing & Forwarding Agent/Commission agents, if appointed on behalf of clients for the purpose of taking of deliveries will be charged at actual.
- Physical Contract note delivery charges Rs.50 +GST (In case of bounced Contract note on email id /Whats app)

I declare that I have read, understood & agreed for the tariff charges and T&C's mentioned above.

Signed for and on behalf of	1st Holder Signature	2nd Holder Signature	3rd Holder Signature
Signature			

EQUITY, DERIVATIVE & CURRENCY TRADING TARIFF SHEET

TARIFF STRUCTURE								
Transaction Type	Equity Cash		Equity F & O		Currency		Commodity	
	Intraday	Delivery	Futures	Options (per lot)	Futures	Options (per lot)	Futures	Options (per lot)
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- For Electronic Delivery through MCX / NCDEX client need to open separate respective COMRIS / COMTRACK / NERL / CCRL / EDCM account with participant. Separate charges with applicable taxes if any will be debited in client's ledger account
- In case of intra day transaction in Security/ Commodity contract first leg rates as above shall be charged on the buy value or sell value depending upon whichever is higher and second leg rates shall be charged vice versa.
- Commission of Clearing & Forwarding Agent/Commission agents, if appointed on behalf of clients for the purpose of taking of deliveries will be charged at actual.
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I declare that I have read, understood & agreed for the tariff charges and T&C's mentioned above.

Signed for and on behalf of	1st Holder Signature	2nd Holder Signature	3rd Holder Signature
Signature			

FORM FOR NOMINATION
(TO BE FILLED IN BY INDIVIDUAL APPLYING SINGLY OR JOINTLY)

Nomination Form

BAJAJ FINANCIAL SECURITIES LIMITED Unit 9 & 10, Tower B, 1st Floor, Mantri IT Park, Nagar Road, Viman Nagar, Pune-411014, Maharashtra												FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)																					
Date		D	D	M	M	Y	Y	Y	Y	UCC/DP ID												Client ID											
I/We to make a nomination [As per details given below]																																	
Nomination Details																																	
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / 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		Name of the nominee(s) (Mr./Ms.)																															
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/Place: State & Country:																															
		PIN Code																															
5		Mobile / Telephone No. of nominee(s)																															
6		Email ID of nominee(s)																															
7		Nominee Identification details- [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Adhaar ☐ Savin Bank Account No. ☐ Proof of Identity ☐ 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 nominees(s))																															
9		Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																															
10		Address of Guardian(s)																															

	city/Place: State & Country:			
		PIN Code		
11	Mobile / Telephone No. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details- [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Adhaar ☐ Savin Bank Account No. ☐ Proof of Identity ☐ Demat Account ID			
		Name(s) of holder(s)		Signature(s) of holder(s)
Sole/First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of Signature
 # Optional Fields (Information required at serial numbers 5,6,7,11,12 &14 it is not mandatory)

Note:

This nomination Shall supersede any prior nomination made by the account holder(s), if any

Declaration form for opting out of nomination

To BAJAJ FINANCIAL SECURITIES LIMITED Unit 9 & 10, Tower B, 1st Floor, Mantri IT Park, Viman Nagar, Pune-411014, Maharashtra	Date <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
UCC/DP ID	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>								
Client ID (only for Demat account)	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>								
Sole/First Holder Name	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>								
Second Holder Name	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>								
Third Holder Name	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>								
I/We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
1. _____ 2. _____ 3. _____									

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

Applicant Name: _____

	Country of Citizenship/National ity	Country of Tax Residence	Country of Birth	Tax Identification no.* (TIN)	Identificati on Type	Source of Wealth
First Holder						☐ Salary ☐ Gift ☐ Royalty ☐ Prize Money ☐ Business ☐ Rental Income ☐ Ancestral Property ☐ Others
Second Holder						☐ Salary ☐ Gift ☐ Royalty ☐ Prize Money ☐ Business ☐ Rental Income ☐ Ancestral Property ☐ Others

*It is mandatory to supply a TIN or functional equivalent to TIN (in case TIN not available) as per the OECD guidelines issued by the country in which you are tax resident. If no TIN /functional equivalent is yet available or has not yet been issued, please provide an explanation _____

Customer Declaration (Applicable to all customers):

I / We hereby declare, agree, and confirm the following:

- The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Bajaj Financial Securities Limited (BFSL) within 30 days, in case of any change in the above given status including my citizenship, nationality or tax residence on a future date.
- If I /We /are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by BFSL to the relevant the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India as per various regulations laid down by the authorities time to time.
- I/We acknowledge that towards compliance with tax information sharing laws, such as FATCA/CRS, the BFSL may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently.
- If my / our Country of Birth is U.S., however, I / We declare that I / We are not U.S. Person, I / We shall provide a certificate of relinquishment of citizenship (Loss of nationality) OR a self-certification stating reasons for not having such a certificate despite relinquishing U.S. citizenship OR not obtaining U.S. citizenship at birth.
- I /We certify that the information provided above is in accordance with Section 508 of the Income Tax Act, 2025 read with Rules 238 to 240 of the Income Tax Rules, 2026, including the taxpayer identification number / functional equivalent number. I am further aware that as per the Union Budget, 2023, a penalty of Rs. 5,000 per account holder under section 455 of the Income Tax Act, 2025 shall be levied for furnishing inaccurate statement of financial transaction owing to false or inaccurate self-certification submitted by me /us under FATCA/CRS.

Date:



Place:

(First/Sole Holder Signature)

(Second holder Signature)

Note:

1. U.S. Person means,
 - a. An individual, being a citizen or resident of the United States of America;
 - b. A partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
 - c. A trust if –
 - i. A court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - ii. One or more U.S. persons have the authority to control all substantial decisions of the trust; or
 - d. An estate of a decedent who was a citizen or resident of the United States of America.

2. Functional Equivalent of TIN:

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- a. Social Security Number
- b. National Insurance Number
- c. Citizen or Personal Identification Code or Number
- d. Resident Registration Number

Applicant Name: _____

PART I	A.	Is the account holder a Government body/International Organization/listed company on recognized stock Exchange: If "No", then proceed to point B. If "yes" please specify name of stock Exchange, if you are listed company _____ and proceed to sign the declaration.	☐ Yes	☐ No
	B.	Is the account holder a (Entity/Financial Institution) tax resident of any country other than India : If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.	☐ Yes	☐ No
	C.	Is the account holder an Indian Financial Institution: If "yes", please provide your Global Intermediary Identification Number (GIIN), if any _____. If "No", proceed to point D.	☐ Yes	☐ No
	D.	Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen: If "yes", (then please fill FATCA/CRS self-certification form). If "No", proceed to sign the declaration.	☐ Yes	☐ No

Customer Declaration (Applicable to all customers):

I / We hereby declare, agree, and confirm the following:

- The details furnished above are true to the best of my/our knowledge and belief and shall undertake to inform Bajaj Financial Securities Limited (BFSL) within 30 days, in case of any change in the above given status.
- If I /We agree that if we are a Specified U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), or an entity with US Persons / foreign tax residents UBO requiring under FATCA/CRS or any other laws, our account details, would be reported by BFSL to the relevant the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India as per various regulations laid down by the authorities time to time.
- I/We acknowledge that towards compliance with tax information sharing laws, such as FATCA/CRS, the BFSL may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently.
- I /We certify that the information provided above is in accordance with Section 508 of the Income Tax Act, 2025 read with Rules 238 to 240 of the Income Tax Rules, 2026, including the taxpayer identification number / functional equivalent number. I am further aware that as per the Union Budget, 2023, a penalty of Rs. 5,000 per account holder under section 455 of the Income Tax Act, 2025 shall be levied for furnishing inaccurate statement of financial transaction owing to false or inaccurate self-certification submitted by me /us under FATCA/CRS.

Name of Applicant: _____

Date:

Place: _____



Signature 1

Name and Company Seal (if applicable)

PART II	Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)
Section 1	Entity Information
Name of Entity: _____	
Customer ID (if existing): _____ Entity Constitution Type: _____	
Entity Identification Type (Please tick one):	
☐ Tax Identification Number (TIN) ☐ US GIIN ☐ Company Identification Number	
☐ Global Entity Identification Number (EIN) ☐ Other (Please specify): _____	
Entity Identification No.: _____ Entity Identification Issuing Country: _____	
Country of Residence for tax purpose: _____	
Section 2	Classification on Non-Financial Entities
I/We (on behalf of the entity) certify that the entity is:	
a. An entity incorporated and taxable in US (Specified US person): ☐ Yes ☐ No If "Yes", please provide your U.S. Taxpayer Identification Number (TIN): _____	
b. An entity incorporated and taxable outside of India (other than US): ☐ Yes ☐ No If "Yes", please provide your TIN or its functional equivalent _____ Provide your TIN issuing country _____	
c. Please provide the following additional details if you are not a Specified US Person (Please tick one):	
FATCA/CRS classification for Non-financial entities (NFFE)	
☐ Active NFFE ☐ Passive NFFE without any controlling Person	
Passive NFFE with Controlling Person(s): ☐ US ☐ Others	
Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus Bajaj Financial Securities Limited is not required to do the reporting).	
Please provide GIIN Number: _____	
Section 3	Classification of financial institutions (including Banks)
I/We (on behalf of the entity) certify that the entity is:	
a. An entity is a U.S. financial institution: ☐ Yes ☐ No i. Please provide your U.S. Taxpayer Identification Number (TIN) _____ ii. Please provide GIIN, if any: _____	
If "No", please tick one of the following boxes below:	
FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where
i. Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction	
ii. Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	
iii. Participating FFI in a Non-IGA Jurisdiction	
iv. Non-reporting FI	
v. Non-Participating FI	
vi. Owner-Documented FI with specified US owners	
Section 4	Controlling person declaration
If you are classified as "Passive NFFE with Controlling Person(s)" or "Owner documented FFI" or "Specified US person", please provide the following details:	

Name of controlling person	Correspondence Address	Country of Residence for tax purpose	TIN	TIN Issuing Country	Controlling Person Type

Details	Controlling Person 1	Controlling Person 2	Controlling Person 3	Controlling Person 4	Controlling Person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

*It is mandatory to supply a TIN or functional equivalent to TIN (in case TIN not available) as per the OECD guidelines issued by the country in which the applicant is tax resident. If no TIN /functional equivalent is yet available or has not yet been issued, please provide an explanation

Section 5	Declaration:								
I / We hereby declare, agree, and confirm the following: a) The details furnished above are true to the best of my/our knowledge and belief and shall undertake to inform Bajaj Financial Securities Limited (BFSL) within 30 days, in case of any change in the above given status. b) If I /we agree the if we are a Specified U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), or an entity with US Persons / foreign tax residents UBO requiring under FATCA/CRS or any other laws, our account details, would be reported by BFSL to the relevant the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India as per various regulations laid down by the authorities time to time. c) I/We acknowledge that towards compliance with tax information sharing laws, such as FATCA/CRS, the BFSL may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. d) I/we certify the information provided above is in accordance with Section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income Tax Rules, 1962, including the taxpayer identification number / functional equivalent number. I/we am/are further aware that as per the Union Budget, 2023, a penalty of Rs. 5,000 per account holder under section 271FAA of the Income Tax Act, 1961 shall be levied for furnishing inaccurate statement of financial transaction owing to false or inaccurate self-certification submitted by me/us under FATCA/CRS.									
Date: <table border="1"><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	 Signature
D	D	M	M	Y	Y	Y	Y		
Place: _____	Name and Company Seal (if applicable)								

DECLARATION FORM OF ULTIMATE BENEFICIAL OWNERSHIP [UBO]/ CONTROLLING PERSONS (FOR NON-INDIVIDUAL APPLICANTS)

M Mandatory

Note: This declaration is NOT needed for companies that are listed on any recognized Stock Exchange in India or is a subsidiary of such Listed company or is controlled by such Listed company.

I. Applicant details:

Applicant Name: _____ PAN: _____

II. Category (Please tick one):

- ☐ Unlisted Company ☐ Partnership Firm/LLP ☐ Unincorporated Association/Body of Individuals
☐ Public Charitable Trust ☐ Private Trust ☐ Religious Trust ☐ Trust created by Will ☐ HUF
 Others (Please specify): _____

III. UBO/Controlling Persons details:

S. No	Name of UBO	Country of Tax Residency	Taxpayer Identification Number/ PAN/ Equivalent ID Number	No. of Shares and % of beneficial interest	Address, Address Type & Contact details (include City, Pincode, State, Country)	Gender	Politically Exposed Person (PEP)	Nationality	Occupation [Service, Business, Others]

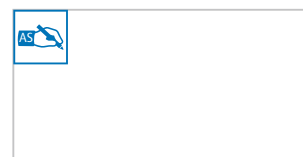
Declaration:

We acknowledge and confirm that the information provided above is true and correct to the best of our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, we are aware that we may liable for it. We hereby authorize Bajaj Financial Securities Limited to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by us, including all changes, updates to such information as and when provided by us to any of the relevant Authorities or any Indian or foreign governmental or statutory or judicial authorities/agencies without any obligation of advising us of the same. Further, we authorize to share the given information to other SEBI Registered Intermediaries and/or any other regulated intermediaries registered with SEBI/RBI to facilitate single submission/update & for other relevant purposes. We also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Date:

Place: _____

Signature



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

[SMS Alerts will be sent by CDSL to Bos for all debit/credit]

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 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 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 account holders 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.

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

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holders Name: _____

Second Holders Name: _____

Third Holders Name: _____

Mobile Number on which messages are to be sent +91

--	--	--	--	--	--	--	--	--	--

The mobile number is registered in the name of: _____

Email ID: _____ (Please write only the mobile number without prefixing country code or zero)

(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: _____

CONSENT LETTER FOR AVAILING BSE STAR MF FACILITY

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Account Opening documents (KYC Form) for the purpose of trading in the Capital Market segment of BSE Limited (BSE).

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

I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE STAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the BSE Circular dated December 02, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund schemes with respect to which I/we choose to subscribe/redeem.

I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund schemes.

I/We therefore request you to register me/us as your client for participating in the BSE STAR MF.

I/We hereby confirm having read and understood the terms & conditions and disclosures provided in this regard.

SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Signature: 	Signature: 	Signature: 
Name: _____	Name: _____	Name: _____

To
BAJAJ FINANCIAL SECURITIES LIMITED

Dear Sir/Madam,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain funds receivable by me/us until specifically requested by me/us to be settled or to be dealt with in any other manner.
2. I/we understand and agree that no interest will be payable to me/us on the amounts so retained with you.
3. I/We also confirm that the securities lying with you should be considered as margin deposit/collateral as per the applicable norms of the Exchanges & the concerned Regulator.
4. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
5. I/we may revoke the authorization at any time by giving in writing.
6. I/we also agree that the actual settlement of fund shall be done by me/us, at least once in a [Tick your preference

☐ Calendar quarter/90 days ☐ Calendar month/30 days

7. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
8. You may retain the requisite funds towards settlements as per the applicable norms of the Exchanges.

Name: _____

Date:



Signature

In case of Non-Individual, Please affix stamp

Notes:

The client shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker within 30 working days from the date of receipt of funds or statement, as the case may be.

Date: _____

To

BAJAJ FINANCIAL SECURITIES LIMITED

Unit 9 & 10, Tower B, 1st Floor, Mantri IT Park,
Nagar Road, Viman Nagar,
Pune-411014, Maharashtra

Dear Sir/Madam,

I/We have been/shall be dealing through you as our broker on the Capital Market and/or Futures & Options Segments and/or Currency Derivative. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receive the contract notes, Demat transaction/Holding statements, Quarterly & Annual statement of funds & securities in physical form or electronic form.

I/We hereby consent to receive the contract note/trade confirmations of the trades executed by me, bills & account statements thereof, notices, circulars, amendments and such other correspondence of documents in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the Rules made there under, to any of my/our self created Email IDs mentioned below:

1. _____

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form for reason of failure of email services, loss of connectivity & email in transit.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us.

I/We also agree that non-receipt of bounce mail notification by you shall amount to delivery at my/our email account(s) email id(s). However, the same would be delivered in physical.

I/We understand that the Member shall fulfill its legal obligation if the aforesaid documents are sent electronically to anyone of the said e-mail ids.

I/We also agree that non-verification or not accessing the contract notes on regular basis from my/our part shall not be a reason for disputing the contract note.

I/We understand that the Member shall not take cognizance of out of office/out of station auto replies and I/We shall be deemed to have received such electronic mails.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you.

I/We understand that I/We are liable to pay necessary charges if I/We are opting for ECN facility and require the same in physical form in future. I/We also understand that on activation of this service, I/We shall not be receiving any statements mentioned above in Physical mode.

Thanking you

Yours faithfully



Name of the Client: _____

Client Code: _____

Signature of Client

AUTHORIZATION TO DEBIT DEMAT CHARGES

Voluntary

Date: _____

To,

BAJAJ FINANCIAL SECURITIES LIMITEDUnit 9 & 10, Tower B, 1st Floor, Mantri IT Park,
Nagar Road, Viman Nagar,
Pune-411014, Maharashtra

Dear Sir/Madam,

Sub : Debiting CDSL/NSDL Charges

I/We have registered with you in BSE/NSE having Client Code _____

I/We request you to debit demat charges of my CDSL/NSDL BO Account No. _____ to my/our above mentioned account.

Thanking you,

Yours faithfully.



Name of the Client: _____

Signature of the Client

MODE OF OPERATION

Applicable to Individual category joint holders Demat account only

Select any one of the following ☐ Jointly ☐ Anyone or survivor

For execution of following transactions only as per the mode of operation.

- Transfer of securities including Inter-Depository Transfer.
- Pledge / Unpledge / Confiscation Margin repledge (Creation, closure and invocation and confirmation thereof as applicable.
- Freeze/ unfreeze of demat account and/ or the ISIN and / or specific number of securities

For all transactions other than mentioned above, the mode of operation shall be as "Jointly".-

(All the joint holder shall give consent by signing below for mode of operation.)

SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Signature: 	Signature: 	Signature: 
Name: _____	Name: _____	Name: _____

OPTION FORM FOR ISSUE OF DIS

Voluntary

Date: _____

DPID:	Client ID:
Sole/First Holder	
Second Holder	
Third Holder	

To,
Bajaj Financial Securities Limited

Dear Sir/Madam,

I/We hereby state that: (Select one of the options given below)

☐ **Option 1:**

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our NSDL/CDSL account though . I/We have issued a (DDPI) in favor of Bajaj Financial Securities Limited for executing delivery instructions for settling Stock Exchange trades (Settlement related transactions) effected through such Clearing Member.

☐ **Option 2:**

I/We do not require Delivery Instruction Slip (DIS) for time being. Since I/We have issued a DDPI in favor of Bajaj Financial Securities Limited for executing delivery instructions for settling stock Exchange trades (Settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Signature: 	Signature: 	Signature: 
Name: _____	Name: _____	Name: _____

DECLARATION FOR AVAILING BASIC SERVICES DEMAT ACCOUNT (BSDA) FACILITY

Voluntary

Date: _____

Serial No. _____

DP ID

DP Name

DP Address

Please Tick the appropriate option:

☐ I/We wish to avail the BSDA facility for my/our new demat account for which I/we have submitted the Account opening Form.☐ I/We wish to convert my/our existing demat account into BSDA as per the following details:DP ID Client ID

	Sole/First Holder	Second Holder	Third holder
Name			
PAN No.			
Contact Nos.			
Email ID			

Declaration:

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA. I/We hereby declare that I/we am/are eligible to open a Depository account as a BSDA holder and undertake to comply with the requirements specified by Securities and Exchange Board of India (SEBI) or any such authority for such facility from time to time. I/We also understand that in case I/We at any point of time do not meet the eligibility as a BSDA holder, my/our aforesaid account is liable to be converted to regular account.

I would like to declare and confirm that I do not/will not have any other BSDA where I would be First holder/ Sole holder across all depositories.

SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Signature: 	Signature: 	Signature: 
Name: _____	Name: _____	Name: _____

Acknowledgement : Received BSDA Declaration Form from:

DP ID
Client ID
DP Name
DP Address

Date:

Depository Participant's Seal and Signature

DECLARATION OF MOBILE NUMBER & EMAIL ID

Voluntary

Date: _____

To

BAJAJ FINANCIAL SECURITIES LIMITED

Unit 9 & 10, Tower B, 1st Floor, Mantri IT Park,
Nagar Road, Viman Nagar,
Pune-411014, Maharashtra

Dear Sir/Madam,

I/We, _____, hereby declare that the mobile no. & E-mail ID on KRA page belongs to me/us. However, I/We am/are unable to furnish any proof evidencing that the above mobile no. & E-mail ID belongs to me.

I/We request you to send all the Trade Confirmations/Margin calls and other communication through SMS & E-mail on the said mobile number & E-mail ID.

Thanking You,

Client Code	Name	Signature
		

CLIENT DECLARATION - OPEN INTEREST POSITION (VOLUNTARY)

- I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Security/ Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any Security/ Commodity and I/we hereby undertake to comply with the same.
- I/We hereby declare and undertake that I / we will not exceed the position limits prescribed from time to time by Security/ Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time.
- I/We undertake to inform you and keep you informed if I / any of our partners / directors / karta / trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such person is a partner / director / karta / trustee, takes or holds any position in any Security/ Commodity forward contract / Security/ Commodity derivative on Exchanges through you or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the referred circular of Exchanges as modified from time to time.
- I/We confirm that you have agreed to enter order in Security/ Commodity forward contracts / Security/ Commodity derivatives for me / us as your clients on Security/ Commodity Exchanges only on the basis of our above assurances and undertaking.
- I/We further undertake to bear any liable/penalty/charges levied by Security/ Commodity Exchanges / SEBI.

Client Code	Name	Signature
		

FAMILY DECLARATION – EMAIL/MOBILE UPDATION IN FAMILY CODES

Date: _____

To

BAJAJ FINANCIAL SECURITIES LIMITED

Unit 9 & 10, Tower B, 1st Floor, Mantri IT Park,
Nagar Road, Viman Nagar,
Pune-411014, Maharashtra

Dear Sir/Madam,

Subject : Family Declaration for registering common Mobile/Email details

I and my family members hereby request that mobile number and email Id, as mentioned on KYC page shall be considered in your records for the purpose of receiving communication from Bajaj Financial Securities Limited (Bajaj Financial Securities Limited) or Stock Exchanges/Depositories with regard to trading/demat transactions executed by me/us through Bajaj Financial Securities Limited.

Thus, any communication relating to my/our trading and demat accounts should be sent to mobile number and e-mail id mentioned on KYC page. This facility shall be provided to me/us as an exception, for my/our convenience of receiving transaction details at a single mobile number and e-mail id. I/We understand that for the purpose of availing the above facility by the family members where “family” means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines).

Sr. No.	Client Name	Client ID/DP ID	Relationship	Signature
1			Self (Mandatory)	
2			Dependent Parent - Mother	
3			Dependent Parent - Father	
4			Spouse	
5			Dependent Daughter	
6			Dependent Daughter	
7			Dependent Son	
8			Dependent Son	
9			Non Individual like company/ HUF/Partnership etc.	
10			Non Individual like company/ HUF/Partnership etc.	
12			Non Individual like company/ HUF/Partnership etc.	
13			Non Individual like company/ HUF/Partnership etc.	
14			Non Individual like company/ HUF/Partnership etc.	
15			Non Individual like company/ HUF/Partnership etc.	
16			Non Individual like company/ HUF/Partnership etc.	

(In case of Non Individual Person be either Director/Authorised Person/Partner/Karta of HUF/Partnership etc.)

(In Case of additional Son/Daughter/Non Individual kindly provide details in separate sheet.)

CLIENT RIGHTS

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position/security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility (MTF) at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close/terminate the Margin Trading Account at any time after payment of all the dues.

CLIENT OBLIGATIONS

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.
5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

STOCK BROKER RIGHTS

1. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Stock broker may set up their own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

STOCK BROKER OBLIGATIONS

1. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section and given as a part of account opening agreement.
3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stock broker shall prescribe and communicate its margin policies on haircuts/VAR margins subject to minimum requirements specified by SEBI and Exchanges from time to time.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day (T stands for Trading Day).
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
7. In case the determination happens after the issuance of contract note, the broker shall issue appropriate records to communicate to client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
8. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by Broker to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there was no transactions for a period of 90 days shall be settled immediately.
12. The stocks deposited as collateral with the stock broker for availing MTF (Collaterals) and the stocks purchased under the MTF (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount.
13. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

TERMINATION OF RELATIONSHIP

1. The margin trading arrangement between the Stock Broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the MTF provided to the Stock Broker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock Exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime 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 MTF in the event of Broker committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
4. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.
5. If the client opts to terminate the MTF, Broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.
6. The Trading Member reserves the right to change the interest rates under due intimation to client on the happening of any eventualities or whensoever there is any change in the base rate as specified by the RBI. Such communication from the trading member can be through any mode including the audio - visual mode.
7. The Trading Member can terminate the MTF agreement by giving one month notice and the Client would be required to close out square off the position within 30 days. The interest rates in such cases will be increased to higher rates as is applicable for availing the MTF facility. Bajaj Financial Securities Limited Will Not Provide Any Margin Trade Facility (MTF) To Non-Resident Indian (NRI'S).

1. Stock Broker/Trading Member is eligible to provide Margin Trading Facility (MTF) in accordance with SEBI & Exchange Guidelines as specified from time to time.
2. Stock Broker/Trading Member desirous of extending MTF to their clients is required to obtain prior permission of BSE. Stock Broker/ Trading Member may note that BSE has the right to withdraw the permission anytime.
3. Stock Broker/Trading Member shall extend the MTF to the client, on such terms and conditions as specified by the Stock Exchange/SEBI from time to time. Stock Broker/Trading Member and the client shall abide by the requirements of the margin trading framework, including rights and obligations, as prescribed by Stock Exchange/SEBI/Stock Broker/Trading Member.
4. Stock Broker/Trading Member shall intimate all the terms and conditions, including maximum allowable exposure, specific stock exposures etc., as well as the rights and obligations to the client desirous of availing MTF.
5. Stock Broker/Trading Member 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, he agrees to make up the shortfall within such time as the Stock Broker/Trading Member may permit. It may however, be noted that the initial/ maintenance margins shall never be lower than that prescribed by Stock Exchange/SEBI.
6. Stock Broker/Trading Member shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.
7. Stock Broker/Trading Member shall liquidate the securities and other collateral, if the client fails to meet the margin call to comply with the margin requirement as specified by Stock Exchange/SEBI/Stock Broker/Trading Member. In this regard, Stock Broker/Trading Member shall also list down situations/conditions in the which the securities may be liquidated (Stock Broker/Trading Member to list down situations/conditions):
8. Stock Broker/ Trading Member shall not use the funds of one client to provide MTF to another client, even if the same is authorised by the first client.
9. The stocks deposited as collateral with the Stock Broker/Trading Member for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and no co-mingling shall be permitted for the purpose of computing funding amount
10. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client. The rights and obligations prescribed herein above shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/MIRSD/16/ 2011 dated August 22, 2011.
11. BAJAJ FINANCIAL SECURITIES LIMITED Will Not Provide Any Margin Trade Facility (MTF) To Non-Resident Indian (NRI'S).

MARGIN TRADING FACILITY (MTF Facility), TERMS AND CONDITIONS

The terms and conditions governing MTF Facility provided by Bajaj Broking. (BAJAJ FINANCIAL SECURITIES LIMITED set out below (T&C) and forming part of the account opening form must be read in conjunction with the rights and obligations prescribed by the Securities and Exchange Board of India (SEBI) under SEBI circular no. CIR/MRD/DP/54/ 2017 dated June 13, 2017 and SEBI Clarification vide circular no. CIR/MRD/DP/86/2017 dated August 01, 2017 and the Rules, Regulations, Bye laws, Rights and Obligation, Guidelines and circulars issued by SEBI and the stock Exchanges from time to time (hereinafter collectively referred to as Regulatory Requirements). The client further confirms that he is a registered client with BAJAJ FINANCIAL SECURITIES LIMITED and have opened an MTF Account with DDPI . The client would like to purchase shares and securities through MTF in the Capital market of NSE/BSE segment. The client hereby accord his consent to avail this MTF product facility and shall deposit approved Securities as collateral or cash for getting the initial margin and there by transacting in shares and securities. The client hereby request BAJAJ FINANCIAL SECURITIES LIMITED to grant him this facility of MTF and by agreeing to avail this facility, the client have deemed to authorize BAJAJ FINANCIAL SECURITIES LIMITED to retain and/or pledge the securities provided as collateral or purchased under MTF facility till the amount due in respect of the said transaction including any dues to Bajaj Financial Securities Limited is paid in full by me. The client further agree to accept and abide by all the terms, conditions, norms, instructions, advisory process etc prescribed by Bajaj Financial Securities Limited in this regard and undertake to comply and assist, Bajaj Financial Securities Limited, in strict implementation thereof, agree, accept, and acknowledge the following terms and conditions prescribed by Bajaj Financial Securities Limited, for availing the aforesaid MARGIN TRADING facility.

- A. For the client (means and includes an Individual, Company, Partnership Firm, Limited Liability Partnership, One Person Company, Trust, Hindu undivided family, Association of Persons, Body of Individuals, whether incorporated or not etc.)**

The client agrees to and confirms, undertakes and authorizes that:

I. General:

1. To avail the MTF Facility offered by Bajaj Financial Securities Limited in accordance with the T&C.
2. Consent to the T&C through email/SMS from his/its email id/mobile number registered with Bajaj Financial Securities Limited or by any online mode or through mobile app (through 2FA/OTP) by logging-in on the website of Bajaj Financial Securities Limited (as and when made available) or by calling the relationship manager or the call centre through the registered mobile number or by approaching through the physical mode of execution.
3. The dues of the client, wherever mentioned in the T&C, shall include but are not limited to the outstanding balances, interest, statutory dues, taxes, duties, charges, penalties etc. in respect of the MTF Facility availed by the client.
4. The T&C applicable to the grant of the MTF Facility and the obligations of the client as amended from time to time is irrevocable and shall not be revoked by the death/dissolution/insolvency/winding up or such other event of the client.
5. Bajaj Financial Securities Limited in its sole and exclusive discretion may or may not grant the MTF Facility to the client or grant on such conditions, terms as are at the sole discretion of Bajaj Financial Securities Limited. Bajaj Financial Securities Limited shall not be required to provide any reasons for either granting or refusal thereof nor shall Bajaj Financial Securities Limited be liable for any damages (whether direct or consequential or whether financial or non-financial) to the client or any third party by reason of it refusing to grant the MTF Facility to the client.

6. To communicate/indicate that the transaction is under the MTF Facility before placing the order with Bajaj Financial Securities Limited. If the transaction is entered under the MTF Facility, there will not be any further confirmation that it is a margin trading transaction other than the contract note issued on conclusion of the transaction.
7. Transaction/s to be considered for exposure to the MTF Facility shall be informed to Bajaj Financial Securities Limited in writing or in any other irrefutable acceptable mode of communication, including call to the relationship manager or BAJAJ FINANCIAL SECURITIES LIMITED call centre on a recorded land line on T day before close of the trading hours. In the absence of any such express communication, the transaction shall be considered under the normal trading facility. Any additional exposure over the debit balance (arising out of any trade executed under the normal trading facility), beyond the fifth trading day reckoned from pay-in date, may be granted under the MTF Facility to the extent the client is eligible and subject to availability of the required margin. In such event, Bajaj Financial Securities Limited in its absolute discretion may identify the eligible/excess securities available with the client and mark the same as collateral towards the MTF Facility. All credit arising to the client account out of a sale transaction under the MTF Facility shall be first adjusted towards the debit under the MTF Facility, if any and subject to adequate margin being maintained for the outstanding debit under the MTF Facility.
8. Pay an interest equal to the delayed payment interest (payment made after the timelines prescribed for Pay In or Pay out date with respect to the said transaction) charged at the rate charged to the client normal account or upto 18 p.a. interest or at the rate agreed from time to time.
9. Bajaj Financial Securities Limited at all times shall have the liberty to exercise its rights in its sole discretion to determine the extent to which the MTF Facility will be available to the client.
10. Bajaj Financial Securities Limited (Bajaj Financial Securities Limited) shall be entitled to revise the Interest Rate quarterly or any time as per its policy, market conditions and/or applicable laws and regulations, and/or any changes in the applicable laws /policy/rates, if any, during the tenor of the trading account at its sole discretion. Bajaj Financial Securities Limited shall inform the client about the variation in the Interest Rate in the due course.

II. Requirement to Maintain Margin:

11. Ensure required margin is maintained for the MTF Facility at all points of time as per the Regulatory Requirements and as specified by Bajaj Financial Securities Limited from time to time.
12. Bajaj Financial Securities Limited shall retain and/or pledge the securities of the client, which are utilized for availing the MTF Facility, and/or retain its corporate benefits, if any, till the amounts due in respect of the transactions including the dues to Bajaj Financial Securities Limited are paid in full by the client.
13. Bajaj Financial Securities Limited shall hold and/or appropriate the credit lying in the client account with Bajaj Financial Securities Limited and/or any unutilized/unpledged shares/securities lying in the client demat account with Bajaj Financial Securities Limited along with all other demat accounts/Mutual Funds/IPO account of the client with Bajaj Financial Securities Limited towards the repayment of the outstanding dues thereof under the MTF Facility.
14. Bajaj Financial Securities Limited shall treat the securities available in Demat account/s linked to the trading account of the client as margin towards the MTF Facility availed by the client.
15. Subject to Regulatory Requirements, Bajaj Financial Securities Limited at its sole and absolute discretion may increase/revise the limit of initial margin and maintenance margin, minimum transaction amount from time to time. The client shall abide by such revision, and where there is an upward revision of such margin amount, the client agrees to make up the revised margin immediately, failing which Bajaj Financial Securities Limited in its discretion may exercise its right to liquidate the security/collateral and/or close out the position immediately.
16. Make good the deficient margin/margin call by placing further margin immediately, failing which, depending upon the market conditions and/or the volatility, Bajaj Financial Securities Limited in its discretion may exercise its right to liquidate the security/collateral and/or close out the position immediately.
17. The MTF Facility shall be provided only in respect of shares as permitted by Regulatory Requirements and/or Bajaj Financial Securities Limited from time to time.

III. Closing out of position:

18. Notwithstanding anything contained in clauses above, Bajaj Financial Securities Limited may, in its sole discretion, determine the time to sell the securities to be liquidated, and/or which contract(s) is/are to be closed.
19. All losses and financial charges on account of such liquidation/closing out shall be charged to and borne by the account of client and shall stand payable immediately.
20. On the happening of any of the following events, Bajaj Financial Securities Limited may, immediately and without any notice, liquidate the security/collateral and or close out the position of the client:
 - i. if any instrument or mandate for payment of Margin Money/Monies is/are dishonored;
 - ii. if the client provides any incorrect or misleading information or violates or is in breach of any provision of the T&C; if there is a change in the constitution of the client whether on account of admission of a new partner or retirement/death/insolvency of any partner or otherwise or if the client has voluntarily or compulsorily become the subject of any proceedings under any bankruptcy/insolvency law or winding up/ liquidation proceedings or a receiver or liquidator has been appointed in respect of the client assets or makes an application or refers itself/by any third party to any authority for being declared being subject to the Insolvency and Bankruptcy Code 2013 or any proceedings, investigations are commenced by any Regulatory Authority including Law enforcement Agencies, or seeking financial reconstruction or any other like scheme (by whatever name called) or is dissolved; the death, lunacy or any other disability of the client;
 - iii. if the client has admitted its inability to pay his/its dues when they become payable or there is reasonable apprehension that the client is unable to pay its outstanding dues including Garnishee Order being passed or admitted against the client;
 - iv. if any order is passed by any regulatory authority, courts, etc. requiring Bajaj Financial Securities Limited to liquidate the

- ix The Trading Member can terminate the MTF agreement by giving one month notice and the Client would be required to close out / square off the position within 30 days. The interest rates in such cases will be increased to higher rates as is applicable for availing the MTF facility.
- X** Bajaj Financial Securities Limited (Bajaj Financial Securities Limited) can terminate the MTF agreement by giving one month's notice and the Client would be required to close out / square off the position within 30 days. In case if client does not close out or square off the position within the given timeframe then Bajaj Financial Securities Limited can close the position or square off the position without further notice to client at any rate and client will not raise any objection to the same. Any and all losses and financial charges on account of such liquidations shall be charged to & borne by the client. On issuing termination notice the Bajaj Financial Securities Limited shall be entitled to revise the Interest Rate at its sole discretion. Bajaj Financial Securities Limited shall inform the client about the variation in the Interest Rate in the due course.

IV. Communication:

- 21. Based on client preference, the client accepts all types of communications whether by email/message to registered mobile number of the client/logging in on Bajaj Financial Securities Limited website (as and when made available) or by physical mode relating to and including with respect to order/trade confirmation, revision in margin/ margin calls, decision to liquidate the position/security/collateral, margin statements, netting, margin policies on haircuts/VAR margin, risk management policies, rights & obligations, etc.

V. Miscellaneous:

- 22. The MTF Facility may be withdrawn by Bajaj Financial Securities Limited, in the event of the client committing any breach of any of the terms and conditions specified herein or in the policy as may be framed from time to time after allowing such time to liquidate the MTF position as agreed herein, without assigning any reason.
- 23. In the event of termination of this arrangement, the client shall forthwith settle the dues of Bajaj Financial Securities Limited. Bajaj Financial Securities Limited shall be entitled to immediately adjust the margin amount against the dues of the client, and the client hereby authorizes Bajaj Financial Securities Limited to make such adjustment. If any further amount is due from the client to Bajaj Financial Securities Limited, after such adjustment, then the client shall forthwith settle the same. Bajaj Financial Securities Limited shall release the balance amount to the client upon full settlement of all the dues of the client to Bajaj Financial Securities Limited.
- 24. Bajaj Financial Securities Limited may release/unpledge/transfer the securities utilized for providing the Margin under the MTF Facility within 5 working days of the client clearing the dues to Bajaj Financial Securities Limited.
- 25. A protest /disagreement with any transaction, document, statements, contract notes or any communication under the MTF Facility shall be lodged by the client within 24 hours from the date of receipt of the same.
- 26. Subject to clearing Bajaj Financial Securities Limited dues, the client can close/terminate the MTF Facility at any time.
- 27. Any dispute in connection with the MTF Facility arising between the client and Bajaj Financial Securities Limited, shall be referred to the investor grievance redressal mechanism, arbitration mechanism of the relevant stock Exchange.
- 28. The client must before deposit and/or purchase of any securities belonging to the promoters/promoter group, intimate the nature of the same to Bajaj Financial Securities Limited before deposit and/or purchase of the securities for availing MTF Facility, failing which the same will be treated as non-promoter holding.
- 29. The terms and conditions and amendments made by Bajaj Financial Securities Limited from time to time, to the T&C, shall be available on Bajaj Financial Securities Limited website and shall be read as forming a part of the present T & C, of which the client shall be bound.

B. For Bajaj Financial Securities Limited

Bajaj Financial Securities Limited agrees to and undertakes and confirms that:

I. Maintenance of Margin:

- 30. The client can, at anytime, replace the securities provided towards collateral for the MTF Facility, as long as the said securities are approved for margin trading with prior approval of RMS.
- 31. The client positions with regard to the MTF Facility will be monitored and reviewed on a continuous basis.
- 32. To the extent the client is eligible and subject to the required margin being available, additional exposure over the debit balance (arising out of any trade executed under the normal trading facility), beyond the fifth trading day reckoned from pay-in date, may be granted under the MTF Facility. Bajaj Financial Securities Limited shall, in its sole discretion in such cases, identify the eligible/excess securities available with the client and mark the same as collateral towards the MTF Facility. All credit arising to the client account out of a sale transaction under the MTF Facility shall be first adjusted towards the debit under the MTF Facility, if any and subject to adequate margin being maintained for the outstanding debit under the MTF Facility.
- 33. Bajaj Financial Securities Limited shall clearly indicate the additional/deficient margin to be made good by the client when it makes a margin call to the client.
- 34. If Bajaj Financial Securities Limited liquidates the client securities, the contract note issued for such margin call related transaction shall carry an identifier that the transaction has arisen as a result of a margin call.
- 35. The daily margin statements sent by Bajaj Financial Securities Limited to the client shall identify the margin/collateral for MTF Facility separately.

II. Closing/Termination of Account:

- 36. Upon receipt of a request from the client to close/terminate the account of the client, Bajaj Financial Securities Limited shall forthwith close/terminate the same subject to payment by the client of all its dues under the MTF Facility.
- 37. If for any reason whatsoever Bajaj Financial Securities Limited surrenders the MTF Facility/ceases to be a member of the stock Exchange/the stock Exchange withdraws the MTF Facility provided to Bajaj Financial Securities Limited then the margin trading arrangement between Bajaj Financial Securities Limited and the client shall be terminated.
- 38. Subject to clearing all dues payable to Bajaj Financial Securities Limited, the client may opt to terminate the MTF Facility, in the event of Bajaj Financial Securities Limited committing any breach of any terms or conditions herein or for any other reason.

39. Upon the client opting to terminate the MTF Facility and on payment of all the dues payable by the client to Bajaj Financial Securities Limited, Bajaj Financial Securities Limited shall return to the client all the collaterals provided and funded securities retained forthwith, but not later than 5 working days from the date of such payment of all dues.

out of any trade executed under the normal trading facility), beyond the fifth trading day reckoned from pay-in date, may be granted under the MTF Facility. Bajaj Financial Securities Limited shall, in its sole discretion in such cases, identify the eligible/excess securities available with the client and mark the same as collateral towards the MTF Facility. All credit arising to the client account out of a sale transaction under the MTF Facility shall be first adjusted towards the debit under the MTF Facility, if any and subject to adequate margin being maintained for the outstanding debit under the MTF Facility.

- 40. Bajaj Financial Securities Limited shall clearly indicate the additional/deficient margin to be made good by the client when it makes a margin call to the client.
- 41. If Bajaj Financial Securities Limited liquidates the client securities, the contract note issued for such margin call related transaction shall carry an identifier that the transaction has arisen as a result of a margin call.
- 42. The daily margin statements sent by Bajaj Financial Securities Limited to the client shall identify the margin/collateral for MTF Facility separately.

II. Closing/Termination of Account:

- 43. Upon receipt of a request from the client to close/terminate the account of the client, Bajaj Financial Securities Limited shall forthwith close/terminate the same subject to payment by the client of all its dues under the MTF Facility.
- 44. If for any reason whatsoever Bajaj Financial Securities Limited surrenders the MTF Facility/ceases to be a member of the stock Exchange/the stock Exchange withdraws the MTF Facility provided to Bajaj Financial Securities Limited then the margin trading arrangement between Bajaj Financial Securities Limited and the client shall be terminated.
- 45. Subject to clearing all dues payable to Bajaj Financial Securities Limited, the client may opt to terminate the MTF Facility, in the event of Bajaj Financial Securities Limited committing any breach of any terms or conditions herein or for any other reason.
- 46. Upon the client opting to terminate the MTF Facility and on payment of all the dues payable by the client to Bajaj Financial Securities Limited, Bajaj Financial Securities Limited shall return to the client all the collaterals provided and funded securities retained forthwith, but not later than 5 working days from the date of such

III. Miscellaneous:

- 47. The client shall, after paying all dues, be free to take the delivery of the securities at any time.
- 48. Bajaj Financial Securities Limited shall issue appropriate records to communicate to the client the change in status of a transaction from normal to MTF Facility, if the client determines to convert a normal trade into MTF after the issuance of a contract note, and shall include information like the original contract number and the margin statement and the changed data.
- 49. The stocks deposited as collateral with Bajaj Financial Securities Limited (Collaterals) for availing the MTF Facility and the stocks purchased under the MTF Facility (Funded stocks) shall be separately identifiable and there shall not be any co-mingling for the purpose of computing funding amount.
- 50. The funds of one client shall not be used to provide MTF Facility to another client even if so authorised by the first client.
- 51. Investor Protection Fund (IPF) will not be available for transactions done on the Exchanges, through the MTF Facility, in case of any losses suffered in connection with the MTF Facility availed by a client.
- 52. The Bajaj Financial Securities Limited reserves the right to auto square off the position in the scenario when the client fails to make the payment.
- 53. The Bajaj Financial Securities Limited will also be charging the brokerage apart from the interest on the funded portion.
- 54. Bajaj Financial Securities Limited reserve the right to provide the eligible security to be considered for the purpose of availing the MTF facility. Bajaj Financial Securities Limited may change the stock from its MTF list as and when the situation demands so or at the time of any volatility in the scrip of the any shares.
- 55. MTM (Mark to Market) loss if any of the funded stocks, should be paid immediately under this funding facility.
- 56. Margin call will be initiated by Bajaj Financial Securities Limited, at any time if the client fails to meet the daily Mark to Market Losses and fails to maintain the required margin as per SEBI/NSE/BSE/Bajaj Financial Securities Limited , By-Laws, rules, regulations, Circulars, Notice or Policy as the case may be & as stated above.
- 57. The margin calls to the client shall be made in the form of SMS to the registered mobile number/E-mail to the registered e-mail ID with Bajaj Financial Securities Limited.
- 58. Upon the receipt of the Margin Call, the client agree to bring additional amount within the specified time to cover the margin short fall and make good of such deficiency in the amount of margin placed with Bajaj Financial Securities Limited.
- 59. Margin shortfall can be replenished by way of online fund transfer/by depositing additional Collateral stock/by transferring the funds from the normal trading account to the MTF account by virtue of journal voucher (JV) or such other mode as is acceptable to Bajaj Financial Securities Limited and permitted by the Bye Laws, Rules, Regulations, orders, Notices of the Stock Exchange and Regulatory Authority.
- 60. If there is a margin call on MTF account, and the client have credit balance in the Normal trading account, Bajaj Financial Securities Limited reserves the right to transfer any clear credit balance from the Normal trading account to the MTF account by virtue of journal voucher (JV). By agreeing to this terms and conditions you give Bajaj Financial Securities Limited the explicit right to do this transfer without any intimation to the client.
- 61. Bajaj Financial Securities Limited reserves the absolute right to change the above-mentioned leverages/exposures at any time without any further intimation.

62. If there are no transactions for 90 days in the MTF account and where MTF account is in credit then the same would be settled as per the running account settlement process.
63. Bajaj Financial Securities Limited at its absolute discretion, may liquidate, close out/sell shares, a part of our whole position, if in case the client fails to meet the margin call made by the Company within the specified time, without prior intimation to me.
64. The stock valuation of fully paid securities in the Collateral account will be determined by Bajaj Financial Securities Limited, after applying the necessary haircuts (Var + ELM % as defined by Bajaj Financial Securities Limited) from time to time.
65. Bajaj Financial Securities Limited reserves the absolute right to withdraw this aforesaid facility at any time without giving any reasons thereof, and the client shall not protest or take a stand against Bajaj Financial Securities Limited.
66. The client agrees to have read and understood the Risk Disclosure Documents, Rights and Obligations and any policies and procedures in this regard and shall not make this as a point of defense at any point of time.
67. BFSL shall retain your data for such period as prescribed by SEBI and/or as may be required by BFSL in compliance to regulatory /statutory requirements

SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Signature: 	Signature: 	Signature: 
Name: _____	Name: _____	Name: _____

Demat Debit and Pledge Instruction

BAJAJ FINANCIAL SECURITIES LIMITED - CM BP ID: IN667065			
BO ID/DP ID - CL ID	A/C TYPE	SUBCATEGORY	DP
1208860000000023	POOL	CM-POOL (Corporate) BSE - PAYOUT	CDSL
1208860000000169	POOL	NSE POOL ACCOUNT	
1208860000119491	MARGIN PLEDGE A/C	Corporate TM/CM CMPA	
1208860000120047	MTF COLLATRAL	Corporate TM/CM CMPA	
1208860000119506	MTF	CLIENT SECURITIES MARGIN FUNDING ACCOUNT	
1100001100020677	EARLY PAY-IN	NSE-EARLY PAY-IN	
1208860000000042	PRINCIPLE	CM PRINCIPLE (CORPORATE) BSE - PAY IN	
12088600006538857	CUSPA	Client Unpaid Securities Pledgee Account	
IN304300-10000053	POOL	NSE POOL ACCOUNT	NSDL
IN304300-10000295	MARGIN PLEDGE A/C	TM/CM- CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	
IN304300-10000300	MTF	TM- CLIENT SECURITIES UNDER MARGIN FUNDING	
1100001000024183	EARLY PAY-IN	ICCL-EARLY PAY-IN (CM ID : 6706)	
IN00115010000053	EARLY PAY-IN	NSCCL-EARLY PAY-IN (CM ID : 6706)	
IN304300-10000037	POOL-PRINCIPLE	BSE POOL-PAY-IN-PAY-OUT	
IN304300-10000797	CUSPA	Client Unpaid Securities Pledgee Account	

Sr. No.	Purpose	Signature of Client*
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 StockExchange order entry platforms	
		
		
4.	Tendering shares in open offers through Stock Exchange platforms	
		
		

BAJAJ FINANCIAL SECURITIES LIMITED

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.

SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Signature: 	Signature: 	Signature: 
Name: _____	Name: _____	Name: _____

Policy on voluntary freezing/blocking of online access of the trading account

SEBI vide Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, has directed the trading members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients.

In accordance with the circular mentioned above and subsequent operating guidelines issued by the Exchanges, clients of Bajaj Financial Securities Limited (hereinafter referred to as "Bajaj Broking") may request for voluntary freezing/blocking of the online access to the trading account through the following modes/channels, in the event the clients observe any suspicious activity in the trading account.

- **Visit our website:** <https://www.bajajbroking.in/> Or Samadhan Portal.
 - Click on [Freeze/Unfreeze Account](#) under important links.
 - Click on the below icon.



- **Call on our IVR** 1800-833-8888 and follow the instructions.

The request for freezing/blocking of the client's trading account shall be accepted only upon successful validation of details of the client through OTP or any other mechanism decided by Bajaj Broking.

Bajaj Broking shall undertake following actions upon receipt of request for freezing/blocking of online access of trading account.

1. An acknowledgement of blocking request shall be sent to the client over Email & SMS on the registered Email and Mobile number.
2. The online access to the trading account shall be blocked within 15 minutes of registration of request, and simultaneously, all pending orders (including GTT orders), if any placed/modified via online mode, shall be canceled. The confirmation on the freezing/blocking shall be sent to the registered email-id and mobile number. The timelines for processing the request are as follows:

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading.	Within 15 minutes of registering request
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

3. Details of open positions (if any) shall be communicated to the client within one hour from the freezing/blocking of the trading account.
4. Online KYC/Account modification requests through Samadhan portal shall also be simultaneously blocked to prevent any unauthorized changes to the account.

Important Note:

- i. Freezing/blocking is only for the online access to the client's trading account and shall not have any impact on the risk management actions taken by Bajaj Broking due to margin shortfall or settlement dues in Normal/MTF/ FO positions.
- ii. Bajaj Broking shall not be responsible for the losses, if any, incurred due to non-acceptance or delay in registration of request due to non-validation or delay in validation of request by the client for any reason including but not limited to non-receipt/ delay in receipt of OTP by client, etc.

- iii. Post freezing/ blocking of online access to trading account, the client may contact our customer care/RM/Dealer to place orders. Bajaj Broking shall not be responsible for any losses incurred due to delays in connecting with us for call and trade facility.

Procedure for unfreezing/unblocking the online access of the trading account

If online access of the trading account has been frozen/ blocked on account of voluntary freezing/blocking request submitted in accordance with SEBI vide Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, then the client may follow below procedure to unfreeze/unblock the online access of the trading account.

The client may request for unfreezing/ unblocking the online access of trading account through any of the following modes/ channels.

- **Visit our website:** <https://www.bajajbroking.in/> Or Samadhan Portal.
 - Click on [Freeze/Unfreeze Account](#) under important links.
 - Click on the below icon.



- **Call on our IVR** 1800-833-8888 and follow the instructions.

Bajaj Broking shall re-enable the online access of the trading account after carrying out necessary due diligence by validating the client's request. The request for unfreezing/unblocking online access of the trading account registered before 1:00 PM shall be processed on the same day and the request received after 1.00 PM shall be processed on or before the next working day.

Bajaj Broking shall not be responsible for the losses, if any, incurred due to non-acceptance or delay in registration of request due to non-validation or delay in validation of request by client for any reason including but not limited to non-receipt/ delay in receipt of OTP by the client, etc.

1. All Clients of Bajaj Financial Securities Limited (Bajaj Broking) are eligible to use this facility of Good Till Triggered Order (GTT) without incurring any additional cost. However, Bajaj Broking reserves the right to reject any request for availing the GTT facility at its sole discretion, without assigning any reason for such rejection.
2. The facility can be used through the Web based trading platform and Mobile application of Bajaj Broking at any time i.e., 24/7.
3. The Client will be allowed to place order through GTT for all segment i.e., Equity, Equity Derivatives and Currency Derivatives.
4. The validity of GTT orders will be one year from the date of placing the order using the GTT facility, except for derivatives orders, which will be valid until the expiry date. After this one-year period or expiry period, whichever is earlier, the order will expire if not executed.
5. A GTT order trigger is valid only once. Therefore, if an order triggered by a GTT is not executed at the exchange for any reason, you will need to manually re-place the GTT order.
6. Client will be allowed to modify/cancel the GTT orders at any time before they are triggered/executed. Client will be allowed to modify quantity, trigger price and limit price. Subject to the availability of the margin.
7. Clients who have not provided POA/DDPI will not be able to place GTT sell order in Cash Segment.
8. GTT order will only get executed if the client has sufficient funds/margins in its Bajaj Broking trading account.
9. The GTT order for selling holdings will be executed only if the clients have sufficient holdings in Demat account or positions.
10. The client understands that, in case scrip in which GTT order has been placed subsequently included in ASM/GSM, the order will be cancelled automatically.
11. At present, the repurchase of the same shares is restricted, except for Intraday product. This may impact your GTT order.
12. Bajaj Broking's dealing desk does not provide any support for GTT orders; Clients are required to modify or cancel their GTT orders directly on the Mobile Application or Web based trading platform by themselves.
13. A maximum of 100 active GTTs is allowed at a time for one account.
14. GTT is available only for CNC / MTF (Cash segment) and NRML (Derivatives segment) product types and it is not available for other product types.
15. All trades will be subject to brokerage, statutory and regulatory levies as prescribed by relevant authority from time to time.
16. In the event of a corporate action, such as a bonus, dividend (if it exceeds 2% of the market value), stock split, etc., GTTs associated with the respective stocks will be automatically canceled prior to the ex-date. Please note that you will need to manually re-place the GTTs after the completion of the corporate action. This cancellation is implemented to prevent the triggering of orders by the stock price movement resulting from the corporate action.
17. All corporate actions shall be intimated to clients having unexecuted GTT orders at least one day prior to the ex-date of the corporate action.
18. Clients are required to refrain from engaging in any unfair trading practices that may disrupt the essence and integrity of the securities market.
19. GTT facility is a value-added service available to the Client over and above the basic broking facility and Bajaj Broking shall not be liable for any actual/notional loss suffered by the Client for any reason whatsoever, with respect to using the GTT feature; including but not limited to, non-execution of any order using the GTT feature / either leg of the order, any opportunity loss for non-execution of such orders/trades, any cancellation or non-placement of any orders, and any such other claims which may arise from Client with respect to using the GTT feature.
20. These Terms and conditions for usage of the GTT facility, may be removed/modified/replaced at any point of time without providing any prior notification. It is client's responsibility to review the terms and conditions every time the Client uses the GTT facility.

SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Signature: 	Signature: 	Signature: 
Name: _____	Name: _____	Name: _____

Most Important Terms and Conditions (MITC) (As per Research Analyst Regulations)

1. Availing of the research services: By accepting delivery of the research service, the client confirms that he/she has elected to subscribe to the research service of the Bajaj Financial Securities Ltd (BFSL) at his/her sole discretion. BFSL confirms that research services shall be rendered in accordance with the applicable provisions of the SEBI Research Analysts (RA) Regulations.
2. Obligations on RA: BFSL and client shall be bound by SEBI Act and all the applicable rules and regulations of SEBI/relevant authority, including the RA Regulations and relevant notifications of Government, as may be in force, from time to time.
3. Client Information and KYC: The client shall furnish all such details in full as may be required by the BFSL in its standard form with supporting details, if any, as may be made mandatory by RAASB/SEBI from time to time. BFSL shall collect, store, upload and check KYC records of the clients with KYC Registration Agency (KRA) as specified by SEBI from time to time.
4. Standard Terms of Service: I/we consent that:

"I / We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure.

I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report.

I/We understand that –

- I. Any investment made based on the recommendations in the research report are subject to market risk.
- II. Recommendations in the research report do not provide any assurance of returns.
- III. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report."

BFSL declares that:

- I. BFSL is duly registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014 and its registration details are: (Registration number-INH000010043, registration date- October 10, 2022);
 - II. BFSL has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting;
 - III. Research analyst services provided by BFSL do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;
 - IV. The maximum fee that may be charged by RA is 1.51 lakhs per annum per family of client.
 - V. The recommendations provided by RA do not provide any assurance of returns.
5. Consideration and mode of payment: The client shall duly pay to BFSL, the agreed fees for the services that BFSL renders to the client and statutory charges, as applicable. Such fees and statutory charges shall be payable through the specified manner and mode(s)/ mechanism(s).
 6. Risk factors: Investments in the securities market are subject to market risk, read all related documents carefully before investing. Investor should consult his own advisors/consultant to determine the merits and risks of investment.
 7. Conflict of interest: BFSL shall adhere to the applicable regulations/ circulars/ directions specified by SEBI from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The disclosures regarding actual and potential conflict of interest shall be made available in the research reports published. For detailed disclosures kindly visit <https://www.bajajbroking.in/disclaimer>
 8. Termination of service and refund of fees: BFSL may suspend or terminate rendering of research services to client on account of suspension/ cancellation of registration of BFSL by SEBI and shall refund the residual amount to the client. In case of suspension of certificate of registration of the BFSL as RA for more than 60 (sixty) days or cancellation of the RA registration, BFSL shall refund the fees, on a pro rata basis for the period from the effective date of cancellation/ suspension to end of the subscription period.
 9. Grievance redressal and dispute resolution: Any grievance related to (i) nonreceipt of research report or (ii) missing pages or inability to download the entire report, or (iii) any other deficiency in the research services provided by BFSL, shall be escalated promptly by the client to the person/employee designated by BFSL, in this behalf BFSL has provided its escalation matrix on the website under the Contact Us section and the same is also mentioned under clause 12.
 - a. The BFSL shall be responsible to resolve grievances within 7 (seven) business working days or such timelines as may be specified by SEBI under the RA Regulations.
 - b. BFSL shall redress grievances of the client in a timely and transparent manner.
 - c. Any dispute between the BFSL and his client may be resolved through arbitration or through any other modes or mechanism as specified by SEBI from time to time.

10. Additional clauses: All additional voluntary clauses added by the BFSL should not be in contravention with rules/ regulations/ circulars of SEBI. Any changes in such voluntary clauses/document(s) shall be preceded by a notice of 15 days.
11. Mandatory notice: Clients shall be requested to go through Do's and Don'ts while dealing with BFSL as specified in SEBI master circular no. SEBI/HO/MIRSD-POD-1/P/CIR/2024/49 dated May 21, 2024 or as may be specified by SEBI from time to time.

Most Important Terms and Conditions (MITC)

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) i.e. BFSL and BFSL cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit BFSL to execute any trade on their behalf.
2. The fee charged by BFSL to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).

Note:

- 2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.
- 2.2. The fee limit does not include statutory charges.
- 2.3. The fee limits do not apply to a non-individual client / accredited investor.
3. BFSL may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or BFSL, the client shall be entitled to seek refund of proportionate fees only for unexpired period.
4. Fees to BFSL may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCOM) managed by BSE Limited (i.e. currently recognized RAASB).
5. The BFSL is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The BFSL will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.
6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the BFSL.
7. The BFSL cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the BFSL's research services. All opinions, projections, estimates of the BFSL are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.
8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the BFSL shall be as per the client's own judgement and assessment of the conclusions contained in the research report.
9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the BFSL or assure any returns to the client.
10. For any grievances
 - Step 1: the client should first contact the BFSL using the Grievance Redressal / Escalation Matrix published on its website. <https://www.bajajbroking.in/contact-us>
 - Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in
 - Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>

11. Clients are required to keep contact details, including email id and mobile number/s updated with the BFSL at all times.
12. The BFSL shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including BFSL.

SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Signature: 	Signature: 	Signature: 
Name: _____	Name: _____	Name: _____

Commodity Categorization Form

Name of Client: _____

Client Code: _____

Client Category	Description
Farmers/ FPOs	It includes participants such as farmers, farmers cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature. FPO/Farmers consists of collectivization of producers especially small and marginal farmers
Value chain participants (VCPs)	It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Produces, SMEs/MSMEs & Wholesalers etc., but exclude farmers/ FPOs.
Foreign participants	It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
Domestic financial institutional investors	It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds(AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
Others	All other participants which cannot be classified in the above categories.

☐ I declare that I am categorized under option 'Others' for each of the commodity mentioned below.

Or

Field Name	Farmers/FPOs	Value Chain Participant (VCP's)	Foreign Participants	Domestic financial institutional investors	Others
Aluminium	☐	☐	☐	☐	☐
Bajra	☐	☐	☐	☐	☐
Barleyjpr	☐	☐	☐	☐	☐
Brass	☐	☐	☐	☐	☐
Cardamon	☐	☐	☐	☐	☐
Castoroil	☐	☐	☐	☐	☐
Castorseed	☐	☐	☐	☐	☐
Chana	☐	☐	☐	☐	☐
Cocudaki	☐	☐	☐	☐	☐
Coffee	☐	☐	☐	☐	☐
Copper	☐	☐	☐	☐	☐
Cotton	☐	☐	☐	☐	☐
Cpo	☐	☐	☐	☐	☐
Crudeoil	☐	☐	☐	☐	☐
Dhaniya	☐	☐	☐	☐	☐
Gold	☐	☐	☐	☐	☐
Guarex	☐	☐	☐	☐	☐
Guargum5	☐	☐	☐	☐	☐

Field Name	Farmers/FPOs	Value Chain Participant (VCP's)	Foreign Participants	Domestic financial institutional investors	Others
Guarseed10	☐	☐	☐	☐	☐
Isabol	☐	☐	☐	☐	☐
Jeeraunjha	☐	☐	☐	☐	☐
Kapas	☐	☐	☐	☐	☐
Lead	☐	☐	☐	☐	☐
Maizekhrif	☐	☐	☐	☐	☐
Maizerabi	☐	☐	☐	☐	☐
Mcxbulldex	☐	☐	☐	☐	☐
Mcxenrgdex	☐	☐	☐	☐	☐
Mcxmetldex	☐	☐	☐	☐	☐
Menthaoil	☐	☐	☐	☐	☐
Moong	☐	☐	☐	☐	☐
Natural gas	☐	☐	☐	☐	☐
Nickel	☐	☐	☐	☐	☐
Nkrishi	☐	☐	☐	☐	☐
Padypb1121	☐	☐	☐	☐	☐
Pepper	☐	☐	☐	☐	☐
Redpmolein	☐	☐	☐	☐	☐
Rmseed	☐	☐	☐	☐	☐
Rubber	☐	☐	☐	☐	☐
Sbmealidr	☐	☐	☐	☐	☐
Sesameseed	☐	☐	☐	☐	☐
Silver	☐	☐	☐	☐	☐
Steel	☐	☐	☐	☐	☐
Sugar	☐	☐	☐	☐	☐
Msybeanidr	☐	☐	☐	☐	☐
Syoref	☐	☐	☐	☐	☐
Tmcfgrnzm	☐	☐	☐	☐	☐
Wheatfaq	☐	☐	☐	☐	☐
Zinc	☐	☐	☐	☐	☐

BAJAJ FINANCIAL SECURITIES LIMITED

Consent Related Clause to be added to the Physical Form for Account Opening

According to the DPDPA, since the particulars about consent should be provided at every data collection point and consent cannot be bundled and it should be specific, please find below the points in the form wherein the consent related specifics to be added (with screenshots for easy identification and ease of understanding)

☐ Consent Declaration (not preticked)

Your personal data is collected by Bajaj Financial Securities Limited for:

- Account Opening
- For completing KYC Procedure
- For Regulatory Compliance and related services

Your data may be shared with regulators, exchanges, KYC agencies, and service providers as required. You have rights to access, correct, and withdraw your data. For further details about understanding how the personal data you provide is processed by the company, please visit <https://www.bajajbroking.in/privacy-and-policy> For full details and grievance redressal, Please visit: connect@bajajbroking.in or contact: 1800-833-8888.

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 I may be held liable for it. I understand that these details will be used for opening and maintaining my Demat / Trading account and for related services.

I agree to the collection, storage, and use of my personal data as per applicable laws and policies. I understand that I can withdraw my consent at any time by contacting the company through the details provided below. I am aware that such withdrawal may affect the services provided to me.

For withdrawal of consent, please contact:

Email: connect@bajajbroking.in

Phone: 1800-833-8888

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SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Signature: 	Signature: 	Signature: 
Name: _____	Name: _____	Name: _____