# KJMC CAPITAL MARKET SERVICES LIMITED

Registered Office Address: 163, Atlanta, 16th Floor, Nariman Point, Mumbai 400 021. India.
Tel: +91-22-40945500 Fax: +91-22-22852892 Website: https://kjmccapital.com
CIN: U64990MH1994PLC077388

*SEBI Registration Numbers*

| *Exchange* | *Segment* | *SEBI Registration Number* |
|---|---|---|
| *National Stock Exchange of India* | *Capital Market / Debt Market Derivatives / Currency Derivatives* | INZ000221631 |
| *BSE Limited* | *Capital Market / Debt Market* | INZ000221631 |
| *Metropolitan Stock Exchange of India Ltd* | *Capital Market / Debt Market Derivatives / Currency Derivatives* | INZ000221631 |
| *The Multi Commodities exchange of India Ltd* | *Commodity* | INZ000221631 |

***Correspondence Office Address***
*163, Atlanta, 16th Floor,*
*Nariman Point, Mumbai 400 021.*
*Tel. No. +91-22-40945500*
*Fax: +91-22-22852892*
*Website: https://kjmccapital.com*

***Director***
*Girish Jain*
*Mobile No. : 9821053574*
*Email id: jaingirish@kjmc.com*

***Compliance Officer***
Dasmita U Mandavkar
*Tel: 022-40945500*
*Email id: eqbackoffice@kjmc.com*

Clearing Member Name:

| **For BSE Derivatives**<br>**For NSE Derivatives** | MCX |
|---|---|
| **Globe Capital Markets Ltd**<br>609, Ansal Bhawan, 16 K G Marg, Connaugh Place<br>New Delhi-110001<br>SEBI Regn. No.: INZ000177137 | **Globe Capital Markets Ltd**<br>609, Ansal Bhawan, 16 K G Marg, Connaugh Place<br>New Delhi-110001<br>SEBI Regn. No.: INZ000177137 |

*For any grievance/dispute please contact KJMC CAPITAL MARKET SERVICES LTD at the above address or email id- grievance@kjmc.com and Phone no. 91-40945500 ext 204.. In case not satisfied with the response, please contact the concerned exchange(s) at below given contact nos.*

| *Stock Exchange* | *Investor Grievance Email ID* | *Contact No.* |
|---|---|---|
| *NSE* | *ignse@nse.co.in* | *1800220058* |
| *BSE* | *is@bseindia.com* | *022-22728097* |
| *MSEI* | *investorcomplaints@msei.in* | *022-67318933* |
| *MCX* | grievance@mcxindia.com | *022-67318888* |

# <u>PART - A</u>

# MANDATORY DOCUMENTS

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KJMC ADVICE MATTERS


# KJMC CAPITAL MARKET SERVICES LIMITED

163, Atlanta, 16th Floor, Nariman Point, Mumbai 400 021. India.
Tel: +91-22-40945500 Fax: +91-22-22852892 Website : https://kjmccapital.com/
SEBI REGN. NO: INZ000221631 (NSE / BSE / MCX/MSEI)
CIN: U64990MH1994PLC077388


## ACCOUNT OPENING KIT

## INDEX

**Important Instructions:**

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
F) Please read section wise detailed guidelines / instructions at the end.
G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
H) List of two character ISO 3166 country codes is available at the end.
I) KYC number of applicant is mandatory for update application.
J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode

**For office use only**

(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

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

| | Prefix | First Name | Middle Name | Last Name |
|---|---|---|---|---|
| ☐ Name* (Same as ID proof) | | | | |
| Maiden Name | | | | |
| Father / Spouse Name | | | | |
| Mother Name | | | | |

Date of Birth* D D — M M — Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

PAN* ☐ Form 60 furnished

## ☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C-Driving Licence
☐ D-NREGA Job Card
☐ E-National Population Register Letter
☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

☐ PHOTO*

**Address**

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin/Post Code* State/U.T Code* ISO 3166 Country Code*

## ☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed Proof of Address - Document Type code

V ☐ Self Declaration

**Address**

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State/U.T Code* ISO 3166 Country Code*

## 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) — Tel. (Res) — Mobile —

Email ID

## 5. REMARKS (If any)

## 6. APPLICANT 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. Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D — M M — Y Y Y Y Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

## 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies
- ☐ E-KYC data received from UIDAI
- ☐ Data received from Offline verification
- ☐ Digital KYC Process
- ☐ Equivalent e-document
- ☐ Video Based KYC

| KYC VERIFICATION CARRIED OUT BY | |
|---|---|
| Date | D D — M M — Y Y Y Y |
| Emp. Name | |
| Emp. Code | |
| Emp. Designation | |
| Emp. Branch | |

[Employee Signature]

| INSTITUTION DETAILS | |
|---|---|
| Name | |
| Code | |

[Institution Stamp]

**A Clarification / Guidelines on filling 'Personal Details' section**

1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

**B Clarification / Guidelines on filling 'Current Address details' section**

1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR

2 PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.

3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.

5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.

6 List of documents for 'Deemed Proof of Address':

| 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 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 04 | Letter of allotment of accommodation from employer issued by State Government 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. |

7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.

9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

**C Clarification / Guidelines on filling 'Contact details' section**

1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).

2 Do not add '0' in the beginning of Mobile number.

**D Clarification / Guidelines on filling 'Related Person details' section**

1 Provide KYC number of related person, if available.

**E Clarification on Minor**

1 Guardian details are optional for minors above 10 years of age for opening of bank account only

2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

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

## 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 | GO | 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 Island | MH | Slovakia | SK |
| Australia | AU | French Guiana | GF | Martinique | MQ | Slovenia | SI |
| Austria | AT | French Polynesia | PF | Mauritania | MR | Solomon Island | SB |
| Azerbaijan | AZ | French Southern Territories | TF | Mauritius | MU | Somalia | SO |
| Bahamas | BS | Gabon | GA | Moyotte | 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 | SI |
| 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 | Nambia | NA | Syrian Arab Republic | SY |
| Bosnia and Herzegovina | BA | Guernsey | GG | Nauru | MZ | Taiwan province of china | TW |
| Botswana | BW | Guinea | GN | Nepal | NP | Tajikistan | TJ |
| Bouvet Island | BV | Guinea-Bissau | GW | Netherlands | NL | Tanzania, United Republic of | TZ |
| Brazil | BR | Guyana | GY | New Caledonia | NC | Thailand | TH |
| British Indian Ocean Territory | IO | Haiti | HT | New Zealand | NZ | Timor-Leste | TL |
| Brunei Darussalam | BN | Heard Island and McDonald Islands | HM | Nicaragua | NI | Togo | TG |
| Bulgaria | BG | Holy See (Vatican City State) | VA | Niger | NE | Tokelau | TK |
| Burkina Faso | BF | Honduras | HN | Nigeria | NG | Tonga | TO |
| Burundi | BI | Hongkong | HK | Niue | NU | Trinidad and Tobago | TT |
| Cabo Verde | CV | Hungary | HU | Norfolk Island | NF | Tunisia | TN |
| Cambodia | KH | Iceland | IS | Northern Mariana Islands | MP | Turkey | TR |
| Cameroon | CM | India | IN | Norway | NO | Turkmenistan | TM |
| Canada | CA | Indonesia | ID | Oman | OM | Turks and Caicos Islands | TC |
| Cayman Islands | KY | Iran, Islamic Republic of | IR | Pakistan | PK | Tuvalu | TV |
| Central African Republic | CF | Iraq | IQ | Palau | PW | Uganda | UG |
| Chad | TD | Ireland | IE | Palestine, State of | PS | Ukraine | UA |
| Chile | CL | Isle of Man | IM | Panama | PA | United Arab Emirates | AE |
| China | CN | Israel | IL | Papua New Guinea | PG | United Kingdom | GB |
| Christmas Island | CX | Italy | IT | Paraguay | PY | United States | US |
| Cocos (Keeling) Islands | CC | Jamaica | JM | Peru | PE | United States Minor Outlying Islands | UM |
| Colombia | CO | Japan | JP | Philippines | PH | Uruguay | UY |
| Comoros | KM | Jersey | JE | Pitcairn | PN | Uzbekistan | UZ |
| Congo | CG | Jordan | JO | Poland | PL | Vanuatu | VU |
| Congo, the Democratic Republic of the | CD | Kazakhstan | KZ | Portugal | PT | Venezuela, Bolivarian Republic of | VE |
| Cook Islands | CK | Kenya | KE | Puerto Rico | PR | Viet Nam | VN |
| Costa Rica | CR | Kiribati | KI | Qatar | OA | Virgin Islands, British | VG |
| Cote d'Ivoire ICote d'Ivoire | CI | Korea, Democratic People's Republic of | KP | Reunion !Reunion | RE | Virgin Island, U.S. | VI |
| Croatia | HR | Korea, Republic of | KR | Romania | RO | Wallis and Futuna | WF |
| Cuba | CU | Kuwait | KW | Russian Federation | RU | Western Sahara | EH |
| Curacao ICuracao | CW | Kyrgyzstan | KG | Rwanda | RW | Yemen | YE |
| Cyprus | CY | Lao People's Democratic Republic | LA | Saint Barthelemy !Saint BartheJemy | BL | Zambia | ZM |
| Czech Republic | CZ | Latvia | LV | Saint Helena, Ascension and Tristan da Cunha | SH | Zimbabwe | ZW |
| Denmark | DK | Lebanon | LB | Saint Kittsand Nevis | KN | | |
| Djibouti | DJ | Lesotho | LS | Saint Lucia | LC | | |
| Dominica | DM | Liberia | LR | Saint Martin (French Part) | MF | | |

## FATCA/CRS Declaration Self Certification for Individuals

Name : ________________________________________

| | | | |
|---|---|---|---|
| **Address Type** | ☐ Residential | ☐ Correspondence | ☐ Business |

| | | | | | |
|---|---|---|---|---|---|
| Date of Birth | | Place of Birth | | Country of Birth | **INDIA** |
| **Nationality** | ☐ Indian | | ☐ U.S. | ☐ Others (Specify) ________________ | |
| **Politically Exposed Person [PEP]** | | | ☐ Yes | ☐ Related to PEP | ☐ N.A |

| | | | |
|---|---|---|---|
| **Gross Annual Income details in INR** | ☐ Below 1 Lacs | ☐ 5-10 Lacs | ☐ 25 Lacs to 1 Cr |
| | ☐ 1-5 Lacs | ☐ 10-25 Lacs | ☐ >1 Crore |
| **Networth in Rs (Optional)** | | | |

| | | | | | |
|---|---|---|---|---|---|
| **Occupation Details** | Business | Professional | Public Sector | Private Sector | Govt. Service |
| | Agriculturist | Housewife | Student | Retired | Forex Dealer |
| | Other (Please Specify) | | | | |

*Are you a tax resident (i.e are you assessed for Tax) in any other country other than India : YES/NO*

If 'Yes', please fill for all countries (other than India) in which you are a Resident for tax purpose i.e where you are a Citizen/ Resident/Green Card Holder/Tax Resident in the respective countries

| Sr. No | Country of Tax Residency | Tax Identification Number(TIN) Or Functional Equivalent | Identification Type (TIN or Other) | If TIN is not available, please tick the reason A, B or C (as defined below) |
|---|---|---|---|---|
| | | | | A B C |
| | | | | A B C |

**Reason A - >** The country where the Account Holder is liable to pay tax does not issue TIN to its residents
**Reason B ->** No TIN required(Select this reason only if the authorities of the respective country of tax residence don not require the TIN to be collected)
**Reason C ->** Others – Please specify the reasons ______________________________

**Declaration for FATCA**

**a)** The details furnished above are true to the best of my knowledge and belief and shall undertake to inform KJMC Capital Market Services Limited within 30 days, in case of any change in the above given status on a future date; In case any of the above specified information is found to be false or untrue or misleading,I/am aware that I may liable for it.

**b)** If I /am U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by KJMC Capital Market Services Limited to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/CRS norms are applicable or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / SEBI Registered intermediaries or of any country other than India;
**c)** If my Country of Birth is U.S., however, I declare that I am not U.S. Person, I 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.

2/18: ______________________________ Date : / /

Place : ____________

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'CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/ Other than Individuals

**Important Instructions:**

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act,1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) 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** Application Type* ☐ New ☐ Update

*(To be filled by financial institution)* KYC Number *(Mandatory for KYC update request)*

☐ **1. ENTITY DETAILS*** (Please refer instruction **A** at the end)

☐ Name*

Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* D D — M M — Y Y Y Y Date of Commencement of Business D D — M M — Y Y Y Y

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN * Form 60 furnished

TIN / GST Registration Number

☐ 2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)

☐ Officially valid document(s) in respect of person authorised to transact
☐ Certificate of Incorporation / Formation ☐ Registration Certificate Regn Certificate No.
☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed
☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf
☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ 3. ADDRESS* (Please see instruction **C** at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*
Line 2
Line 3 City / Town / Village*
District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*
Line 2
Line 3 City / Town / Village*
District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off) — FAX —
Mobile — Email ID
Mobile — Email ID

☐ 5. NUMBER OF RELATED PERSONS (Please refer instruction **E** at the end)

## 6. REMARKS (If any)

## 7. APPLICANT DECLARATION (Please refer Instruction **G** at the end)

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D — M M — Y Y Y Y    Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Authorised Person(s)

## 8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Equivalent e-document

| KYC VERIFICATION CARRIED OUT BY | INSTITUTION DETAILS |
|---|---|
| Identity Verification ☐ Done Date D D — M M — Y Y Y Y | Name |
| Emp. Name | Code |
| Emp. Code | [Institution Stamp] |
| Emp. Designation | |
| Emp. Branch | |
| [Employee Signature] | |

A Clarification / Guidelines for filing Entity Details section

1 Entity Constitution Type

| | | |
|---|---|---|
| A - Sole Proprietorship | H - Trust | O - Artificial Jurisdical Person |
| B - Partnership Firm | I - Liquidator | P - International Organisation or Agency /Foreign Embassy or Consular Office etc. |
| C - HUF | J - Limited Liability Partnership | Q - Not Categorized |
| D - Private Limited Company | K - Artificial Liability Partnership | R - Others |
| E - Public Limited Company | L - Public Sector Banks | S - Foreign Portfolio Investors |
| F - Society | M - Central/State Government Department or Agency | |
| G - Association of Persons (AOP) / Body of Individuals (BOI) | N - Section 8 Companies (Companies Act, 2013) | |

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entitites, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[PoI]' section

1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.

2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.

3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.

4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.

5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).

2 Do not add ‘0’ in the beginning of Mobile number.

E Clarification / Guidelines for filling 'Related Person Details' section

1 Personal Details

- The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 Proof of Address [PoA]

- 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 deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

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

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

## 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 | GO | 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 Island | MH | Slovakia | SK |
| Australia | AU | French Guiana | GF | Martinique | MQ | Slovenia | SI |
| Austria | AT | French Polynesia | PF | Mauritania | MR | Solomon Island | SB |
| Azerbaijan | AZ | French Southern Territories | TF | Mauritius | MU | Somalia | SO |
| Bahamas | BS | Gabon | GA | Moyotte | 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 | SI |
| 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 | Nambia | NA | Syrian Arab Republic | SY |
| Bosnia and Herzegovina | BA | Guernsey | GG | Nauru | MZ | Taiwan province of china | TW |
| Botswana | BW | Guinea | GN | Nepal | NP | Tajikistan | TJ |
| Bouvet Island | BV | Guinea-Bissau | GW | Netherlands | NL | Tanzania, United Republic of | TZ |
| Brazil | BR | Guyana | GY | New Caledonia | NC | Thailand | TH |
| British Indian Ocean Territory | IO | Haiti | HT | New Zealand | NZ | Timor-Leste | TL |
| Brunei Darussalam | BN | Heard Island and McDonald Islands | HM | Nicaragua | NI | Togo | TG |
| Bulgaria | BG | Holy See (Vatican City State) | VA | Niger | NE | Tokelau | TK |
| Burkina Faso | BF | Honduras | HN | Nigeria | NG | Tonga | TO |
| Burundi | BI | Hongkong | HK | Niue | NU | Trinidad and Tobago | TT |
| Cabo Verde | CV | Hungary | HU | Norfolk Island | NF | Tunisia | TN |
| Cambodia | KH | Iceland | IS | Northern Mariana Islands | MP | Turkey | TR |
| Cameroon | CM | India | IN | Norway | NO | Turkmenistan | TM |
| Canada | CA | Indonesia | ID | Oman | OM | Turks and Caicos Islands | TC |
| Cayman Islands | KY | Iran, Islamic Republic of | IR | Pakistan | PK | Tuvalu | TV |
| Central African Republic | CF | Iraq | IQ | Palau | PW | Uganda | UG |
| Chad | TD | Ireland | IE | Palestine, State of | PS | Ukraine | UA |
| Chile | CL | Isle of Man | IM | Panama | PA | United Arab Emirates | AE |
| China | CN | Israel | IL | Papua New Guinea | PG | United Kingdom | GB |
| Christmas Island | CX | Italy | IT | Paraguay | PY | United States | US |
| Cocos (Keeling) Islands | CC | Jamaica | JM | Peru | PE | United States Minor Outlying Islands | UM |
| Colombia | CO | Japan | JP | Philippines | PH | Uruguay | UY |
| Comoros | KM | Jersey | JE | Pitcairn | PN | Uzbekistan | UZ |
| Congo | CG | Jordan | JO | Poland | PL | Vanuatu | VU |
| Congo, the Democratic Republic of the | CD | Kazakhstan | KZ | Portugal | PT | Venezuela, Bolivarian Republic of | VE |
| Cook Islands | CK | Kenya | KE | Puerto Rico | PR | Viet Nam | VN |
| Costa Rica | CR | Kiribati | KI | Qatar | OA | Virgin Islands, British | VG |
| Cote d'Ivoire ICote d'Ivoire | CI | Korea, Democratic People's Republic of | KP | Reunion !Reunion | RE | Virgin Island, U.S. | VI |
| Croatia | HR | Korea, Republic of | KR | Romania | RO | Wallis and Futuna | WF |
| Cuba | CU | Kuwait | KW | Russian Federation | RU | Western Sahara | EH |
| Curacao ICuracao | CW | Kyrgyzstan | KG | Rwanda | RW | Yemen | YE |
| Cyprus | CY | Lao People's Democratic Republic | LA | Saint Barthelemy !Saint BartheJemy | BL | Zambia | ZM |
| Czech Republic | CZ | Latvia | LV | Saint Helena, Ascension and Tristan da Cunha | SH | Zimbabwe | ZW |
| Denmark | DK | Lebanon | LB | Saint Kittsand Nevis | KN | | |
| Djibouti | DJ | Lesotho | LS | Saint Lucia | LC | | |
| Dominica | DM | Liberia | LR | Saint Martin (French Part) | MF | | |

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

**Important Instructions:**

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) 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 — Application Type* ☐ New ☐ Update ☐ Delete

*(To be filled by financial institution)* KYC Number *(Mandatory for KYC update and delete request)*

### 1. DETAILS OF RELATED PERSON* (Please refer instruction **E** at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) *If KYC number is available, only 'Related Person Type' & 'Name' is mandatory*

**Related Person Type*** ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) *(Mandatory if Related Person Type is Director)*

### 1.1 PERSONAL DETAILS (Please refer instruction **E** at the end)

| | Prefix | First Name | Middle Name | Last Name |
|---|---|---|---|---|
| Name* (Same as ID proof) | | | | |
| Maiden Name | | | | |
| Father / Spouse Name | | | | |
| Mother Name | | | | |

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code )

PAN* ☐ Form 60 furnished

### 1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction **E** at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

☐ **PHOTO***

**Address**

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

### ☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction **E** and the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

II ☐ Offline verification of Aadhaar

IV ☐ Deemed PoA

V ☐ Self Declaration

**Address**

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

## 1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off) — Tel. (Res) — Mobile —

Email ID

## 2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D — M M — Y Y Y Y Place:

**Signature /Thumb Impression of Applicant**

## 3. ATTESTATION / FOR OFFICE USE ONLY

**Documents Received**

- ☐ Certified Copies
- ☐ Digital KYC process
- ☐ E-KYC data received from UIDAI
- ☐ Equivalent e-document
- ☐ Data received from Offline verification

| KYC VERIFICATION CARRIED OUT BY | INSTITUTION DETAILS |
|---|---|
| Date D D — M M — Y Y Y Y | Name |
| Emp. Name | Code |
| Emp. Code | |
| Emp. Designation | |
| Emp. Branch | |
| [Employee Signature] | [Institution Stamp] |

# FATCA CRS Declaration for Entities

**Details of ultimate beneficial owner including additional FATCA & CRS information** *(please include other references for completeness sake)-To be obtained with Account Opening Form for Non-Individuals)*

| Account No. | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|

1. Please tick the applicable tax resident declaration:**(Any one) (if b. is applicable, pl provide all other information .**
   a. ☐ Entity is a tax resident of India and not resident of any other country
   **OR**
   b. ☐ Entity is a tax resident of the country/ies mentioned in the table below

Please indicate the country/ies in which the entity is a resident for tax purposes and the associated Tax ID Number below:

| Country | Tax Identification Number% | Identification Type (TIN or Other%, please specify) |
|---|---|---|
| | | |
| | | |
| | | |

*% In case Tax Identification Number is not available, kindly provide functional equivalent $ or Company Identification Number or Global Entity Identification Number*
In case the Entity's Country of Incorporation/Tax residence is U.S. but Entity is not a Specified U.S. Person, you are required to submit Form W-9 and mention Entity's exemption code here: ______________

2. Name of the entity: ____________
3. Customer ID: ____________
4. Residential address for tax purpose(including city, state, country and pin code) _________
5. Address Type: ______________ (Business or Registered office)
6. Country of incorporation: ________
7. City of incorporation: __________
8. Entity Constitution Type: ________________
   (A - Sole Proprietorship, B - Partnership Firm, C – HUF, D - Private Limited Company, E- Public Limited Company, F- Society, G- AOP/BOI, H – Trust, I – Liquidator, J – Limited Liability Partnership, K- Artificial Juridical Person, Z – Others specify _________)
9. Date of Incorporation: ____________ *(in DD/MM/YYYY format)*(Mandatory if valid PAN is not reported)
10. PAN________

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

| ***Part A(to be filled by Financial Institutions or Direct Reporting NFFEs)*** | | | |
|---|---|---|---|
| 1 | We are a<br>Financial institution[2] or<br>Direct reporting NFE[3]<br>(please tick as appropriate) | GIIN:______<br>*Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below:*<br>Name of sponsoring entity:<br>_________________________ | GIIN not available (please tick as applicable):<br>***Applied for***<br>*Following options available only for Financial Institutions:*<br>***Not required to apply for*** *(Please specify sub-category[4] _______)*<br>*Please provide with Form W8-BEN-E, duly filled in*<br>***Not obtained – Non-participating FFI*** |

[2] Refer1 of Part D
[3] Refer 3(vii) of Part D
[4] Refer 1A. of Part D

| Part B(please fill any one as appropriate) | | |
|---|---|---|
| 1 | Is the Entity a *publicly traded company*[5] (that is, a company whose shares are regularly traded on an established securities market) | ☐ Yes or ☐ No _____<br>(If yes, please specify any one stock exchange upon which the stock is regularly traded)<br><br>Name of the stock exchange<br>______________ |
| 2 | Is the Entity a *related entity of a publicly traded company*[6] - a company whose shares are regularly traded on an established securities market | ☐ Yes or ☐ No<br>Name of the listed company, the stock of which is regularly traded<br>________________<br>(If yes, please specify any one stock exchange upon which the stock is regularly traded)<br><br>Name of the stock exchange<br>________________<br>Nature of relation:<br>Subsidiary of the listed company<br>Controlled by a listed company |
| 3 | Is the Entity an *active NFE*[7] | ☐ Yes ☐ or No<br>Nature of business<br>_____________________<br><br>Please specify the sub-category of Active NFE:____<br>(*Mention code – refer 2c of Part D)* |
| 4 | Is the Entity a *passive NFE*[8] | ☐ Yes or ☐ No<br><br>Nature of business<br>_____________________ |

| Part C | | | |
|---|---|---|---|
| Please list below the details of each controlling person(s), confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers for EACH controlling persons (*Please attach additional sheets if necessary*):<br><br>*Owner-documented FFI's*[9] *should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E* | | | |
| | Controlling Person 1 | Controlling Person 2 | Controlling Person 3 |
| # Name | | | |
| # Country of tax residency* | | | |
| Address & contact details (include City State, Country & Pin code) | | | |
| Telephone/mobile number with ISD code | | | |
| # Tax identification number (or functional equivalent) for each country identified in relation to each person% | | | |
| # Identification Type (TIN or Other, please specify) | | | |
| % of beneficial interest | | | |
| # Controlling person type code[10] | | | |

[5] Refer 2a of Part D
[6] Refer 2b of Part D

[7] Refer 2c of Part D
[8] Refer 3(ii) of Part D
[9] Refer 3(vi) of Part D
[10] Refer 3(iv) (A) of Part D

**Additional details to be filled below by controlling persons having tax residency/permanent residency/citizenship in any country other than India including green card holders:**

| | Controlling Person 1 | Controlling Person 2 | Controlling Person 3 |
|---|---|---|---|
| Customer ID (if allotted) | | | |
| Gender (Male, Female, Other) | | | |
| City of Birth | | | |
| Country of birth | | | |
| Occupation Type (Service, Business, Others) | | | |
| Nationality | | | |
| Father’s Name (if PAN not available) | | | |
| Birth Date | | | |
| PAN | | | |
| Address type for address mentioned above (Residence or business, Residential, Business, Registered office) | | | |
| Identification Type (Documents submitted as proof of identity of the individual)[@] | | | |
| Identification Number (Mandatory if PAN or Aadhaar number is not reported) | | | |
| Spouse’s name (optional) | | | |
| Aadhaar Number (optional) | | | |

*To include US, where controlling person is a US citizen or green card holder
[%]In case Tax Identification Number is not available, kindly provide functional equivalent[$]
# These details are mandatory for passive NFEs as per the FATCA declaration
@ Permissible values are:

- Passport
- Election ID card
- PAN Card
- ID Card
- Driving License
- UIDAI Letter
- NREGA Job card
- Others

## FATCA CRS Terms and Conditions

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

**If any controlling person of the entity is a US citizen or resident or greencard holder, please include United States in the foreign country information field along with the US Tax Identification Number.**

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

Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

**Certification**

I /we have understood the information requirements of this Form (read along with the *FATCA-CRS Instructions & Definitions under Part D*) and hereby confirm that the information provided by us on this Form is True, Correct, and Complete.  I/we also confirm that I /we have read and understood the FATCA-CRS Terms and Conditions above and hereby accept the same.

Name: ______________

Designation: __________

Signature:

| | | |
|---|---|---|
| | | |

Date: __/ ___/ ____
Place: _________________________

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

**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 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 or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Mandatory and voluntary Client Registration Documents of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill **-** Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.

5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

**D. Exemptions/clarifications to PAN**

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

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

**E. List of people authorized to attest the documents:**

1. 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.

F. **In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

| Types of entity | Documentary requirements |
|---|---|
| **Corporate** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>• 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).<br>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.<br>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.<br>• Copies of the Memorandum and Articles of Association and certificate of incorporation.<br>• Copy of the Board Resolution for investment in securities market.<br>• Authorised signatories list with specimen signatures. |
| **Partnership firm** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>• Certificate of registration (for registered partnership firms only).<br>• Copy of partnership deed.<br>• Authorised signatories list with specimen signatures.<br>• Photograph, POI, POA, PAN of Partners. |
| **Trust** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>• Certificate of registration (for registered trust only).<br>• Copy of Trust deed.<br>• List of trustees certified by managing trustees/CA.<br>• Photograph, POI, POA, PAN of Trustees. |
| **HUF** | • PAN of HUF.<br>• Deed of declaration of HUF/ List of coparceners.<br>• Bank pass-book/bank statement in the name of HUF.<br>• Photograph, POI, POA, PAN of Karta. |
| **Unincorporated association or a body of individuals** | • Proof of Existence/Constitution document.<br>• Resolution of the managing body & Power of Attorney granted to transact business on its behalf.<br>• Authorized signatories list with specimen signatures. |
| **Banks/Institutional Investors** | • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.<br>• Authorized signatories list with specimen signatures. |
| **Foreign Institutional Investors (FII)** | • Copy of SEBI registration certificate.<br>• Authorized signatories list with specimen signatures. |
| **Army/ Government Bodies** | • Self-certification on letterhead.<br>• Authorized signatories list with specimen signatures. |
| **Registered Society** | • Copy of Registration Certificate under Societies Registration Act.<br>• List of Managing Committee members.<br>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.<br>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary. |

## *TRADING ACCOUNT RELATED DETAILS*

***For Individuals & Non-individuals***

### A. DETAILS

1. **Gross Annual Income Details (please specify):** Income Range per annum: Below Rs 1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / 25 - 100 Lac / > 100 Lac **or**

   **Net-worth _____________ as on** ____/_____/_____ (Net worth should not be older than 1 year)

2. **Please tick, if applicable:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP) (In case of Non-Individuals please tick for any of your Authorized Signatories / Promoters / Partners / Karta / Trustees and Whole Time Directors)

3. **Any other information**: __________________________________________________________

   ___________________________________________________________________________

### B. BANK ACCOUNT(S) DETAILS

| Bank Name | Branch address | Bank account no. | Account Type: Saving/ Current/ Others-In case of NRI/NRE/NRO | MICR Number | IFSC code |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |

### C. DEPOSITORY ACCOUNT(S) DETAILS

| Depository Participant Name | Depository Name (NSDL/CDSL) | Beneficiary name | DP ID | Beneficiary ID (BO ID) |
|---|---|---|---|---|
| | | | | |
| | | | | |

### D. 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 & MSEI** | | | | **MCX, BSE & NSE** |
|---|---|---|---|---|---|
| All Segments | Cash / Mutual Fund | F & O | Currency | Debt | Commodity Derivatives |
| *3/18* | *3/18* | *3/18* | *3/18* | *3/18* | *3/18* |

If you do not wish to trade in any of the above Segments / Mutual Fund, please mention here _____________________________________.

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

### E. PAST ACTIONS

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

### F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:
  Sub-broker's Name: ____________________________________________
  SEBI Registration number: ____________________
  Registered office address: ____________________________________________
  Ph: ___________ Fax: __________ Website: __________________

- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)
  Name of stock broker :____________________________________________
  Name of Sub-Broker, if any :____________________________________________
  Client Code : ___________ Exchange :____________________________
  Details of disputes/dues pending from/to such stock broker/sub- broker :______________________

### G. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): Y / N
  Specify your Email id, if applicable:____________________________________________

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): Y / N

- Number of years of Investment/Trading Experience: ______________________________

- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: ____________________

- Any other information: ____________________________________________

### H. INTRODUCER DETAILS (optional)

Name of the Introducer: ____________________________________________
(Name) (Middle Name) (Sur Name)

Status of the Introducer:
Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify ______________

Address and phone no. of the introducer:____________________________________________
____________________________________________

Signature of the Introducer : ____________________________________________

***[SEBI Circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]***

## Nomination Form - Annexure A

| **TM / DP** | **FORM FOR NOMINATION** |
|---|---|
| KJMC Capital Market Services Limited, 163, 16th floor, Atlanta, Nariman Point, Mumbai-400021 | (*To be filled in by individual applying singly or jointly*) |
| | **Nomination Form No:** |

| **Date** | | | | | | | | **DP ID** | 1 | 2 | 0 | 5 | 6 | 8 | 0 | 0 | **Client ID** | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|

UCC Code:

I/We wish 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)**<br>City / Place:<br>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]<br>▪ Photograph & Signature<br>▪ PAN ▪ Aadhaar<br>▪ Saving Bank account no. ▪ Proof of Identity ▪ Demat Account ID | | PHOTO | | PHOTO | | PHOTO | |
| Signature of Nominee | | | | | | | | |

*[SEBI Circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]*

KJMC FINSERV

| | | | | |
|---|---|---|---|---|
| **Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:** | | | | |
| **8** | **Date of Birth {in case of minor nominee(s)}** | | | |
| **9** | **Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }** | | | |
| **10** | **Address of Guardian(s)** | | | |
| | City / Place:<br>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]<br>☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID | PHOTO | PHOTO | PHOTO |
| Signature of Guardian | | | | |

| | **Name(s) of holder(s)** | **Signature(s) of holder*** |
|---|---|---|
| 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

**Note:**

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

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

***[SEBI Circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]***

**Declaration Form for opting out of nomination - *Annexure B***

| To | Date | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|

KJMC Capital Market Services Limited
163, 16th floor, Atlanta, Nariman Point, Mumbai-400021

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| UCC Code : | | | | | | | | |
| DP ID | 1 | 2 | 0 | 5 | 6 | 8 | 0 | 0 |
| Client ID (only for Demat account) | | | | | | | | |
| Sole/First Holder Name | | | | | | | | |
| Second Holder Name | | | | | | | | |
| Third Holder Name | | | | | | | | |

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)***

| First / Sole Holder | Second Holder | Third Holder |
|---|---|---|
| | | |
| | | |

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

## DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and 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.

2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

4/18

**Place** : ________________

**Date : ___/_____/20______**

(----------------------------------------------------)

**Signature of Client / (All) Authorised Signatories)**

---

FOR OFFICE USE ONLY

UCC Code allotted to the Client: --------------------

| | Documents verified with Originals | Client Interviewed By | In-Person Verification done by |
|---|---|---|---|
| Name of the Employee | | | |
| Employee Code | | | |
| Designation of the employee | | | |
| Date | | | |
| Signature | | | |

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

________________________________

**Signature of the Authorised Signatory**

__________________________

**Seal/Stamp of the stock broker**

**Date: ___/____/20___**

## INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

| | |
|---|---|
| Copy of ITR Acknowledgement | Copy of Annual Accounts |
| In case of salary income - Salary Slip, Copy of Form 16 | Net worth certificate |
| Copy of demat account holding statement. | Bank account statement for last 6 months |
| Any other relevant documents substantiating ownership of assets. | Self declaration with relevant supporting documents. |

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

2. 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.

3. Demat master or recent holding statement issued by DP bearing name of the client.

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

5. For non-individuals:
    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.

## ANNEXURE - 1

**Details of Promoters/ Partners/ Karta/ Trustees and whole time Directors forming a part of Know Your Client (KYC) Application Form for Non Individuals.**

Name of Applicant ________________________________ PAN of the Applicant : ________________

| Sr. No | PAN | Name | DIN (For Directors/ UID(For Others) | Residential / Registered Address | Relationship with Applicant(i.e Promoters/ Whole time Directors etc | Whether Politically Exposed | Please affix Photograph & Sign Across it |
|---|---|---|---|---|---|---|---|
| 1 | | | | | | ☐ PEP<br>☐ RPEP<br>☐ NO | |
| 2 | | | | | | ☐ PEP<br>☐ RPEP<br>☐ NO | |
| 3 | | | | | | ☐ PEP<br>☐ RPEP<br>☐ NO | |
| 4 | | | | | | ☐ PEP<br>☐ RPEP<br>☐ NO | |

Name & Signature of Authorized Signatory(ies)
Date : / /

PEP : Politically Exposed Person
RPEP : Related to Politically Exposed Person

**ANNEXURE - 2**

AUTHORISED SIGNATORIES

(Please add additional sheet, if required)

The following Persons are authorized to trade

| | Name & Designation | | Specimen Signature | Photograph |
|---|---|---|---|---|
| 1 | Name | | | Please affix the Photograph & Sign across it |
| | Designation | | | |
| | Residential Address & Tel.No. | | | |
| | % Stake | | | |
| | PAN | | | |
| | DIN/UID | | | |
| | Weather Politically Exposed Person/Relati-Ve of Politically Expo-Sed Person | YES/NO | Initial<br>x | |

| | | | | |
|---|---|---|---|---|
| 2 | Name | | | Please affix the Photograph & Sign across it |
| | Designation | | | |
| | Residential Address & Tel.No. | | | |
| | % Stake | | | |
| | PAN | | | |
| | DIN/UID | | | |
| | Weather Politically Exposed Person/Relati-Ve of Politically Expo-Sed Person | YES/NO | Initial<br>x | |

| | | | | |
|---|---|---|---|---|
| 3 | Name | | | Please affix the Photograph & Sign across it |
| | Designation | | | |
| | Residential Address & Tel.No. | | | |
| | % Stake | | | |
| | PAN | | | |
| | DIN/UID | | | |
| | Weather Politically Exposed Person/Relati-Ve of Politically Expo-Sed Person | YES/NO | Initial<br>x | |

## ANNEXURE - 3

DECLARATION BY FIRM (SOLE-PROPRIETORSHIP)
(To be obtained on Pre-Printed Letter head of the Firm)

KJMC Capital Market Services Limited  Dated : / /20
163, Atlanta, 16th Floor, Nariman Point,
Mumbai 400 021, India.

Dear Sir

I refer to the trading account opened with M/s. KJMC Capital Market Services Limited. in the name of ______________________________________________________________ and declare and authorise you as under:

• I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Depository Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the shares transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary Account No____________with Depository _______________________ having DP ID ________________opened in the name of the undersigned who is the sole proprietor of the firm.

• I agree that the obligation for Securities purchased and/or sold by the firm will be handled and completed through transfers to/from the above- mentioned account. I recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the firm.

Signature(s) __________________________ (Please sign with stamp of the firm)

The cheques / DDs may be issued by me from my individual account or my joint account with some one else. The amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s ________________________ with M/s. KJMC Capital Market Services Limited.

Thank you.
Yours Truly

Name : ______________________________
Address : ______________________________
______________________________

Signature : ______________________________
(Please sign without stamp of the firm)

## ANNEXURE - 4

DECLARATION BY KARTA & ALL CO-PARCENERS IN CASE OF HUF ACCOUNT
(To be obtained on Pre-Printed Letter head of the HUF)

Date:_____/_____/20____

KJMC Capitla Market Services Limited
163, Atlanta, 16th Floor, Nariman Point,
Mumbai 400 021, India.

WHEREAS the Hindu Undivided Family of Mr ________________________________________ is carrying on business in the firm name and style of ____________________________________ at ________________________ and we intend to deal, have or desire to have a Trading Account with & KJMC Capital Market Services Limited. (hereinafter collectively referred to as 'Member') as well as have a Beneficiary Owners Account (Demat) with KJMC Capital Market Services Ltd., Depository Participant (DP) of CDSL. We, undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Mr ____________________________ is the present Karta of the said joint family.

We confirm that affairs of the HUF firm are carried on mainly by the Karta Mr ____________ ________________________________ on behalf and in the interest and for the benefit of all the co-parceners. We hereby authorise the Karta Mr_______________________________________ on behalf of the HUF to deal on Capital Market Segment(CM),Derivatives Segment (F&O / Currency) or any other segment that may be introduced by BSE/NSE/MSEI as well as operate the Beneficial Owners Account in future and the said Member and DP are hereby authorised to honor all instruction oral or written, given by him on behalf of the HUF

Mr. _______________________________________ is authorised to sell, purchase, transfer, endorse, issue instructions, negotiate documents and / or otherwise deal through KJMC Capital Market Services Ltd. on behalf of the HUF _______________________________. He is also authorised to sign, execute and submit such applications, undertakings, mandatory and voluntary Client Registration Documents and other requisite documents, writings and deeds as may be deemed necessary / expedient to open account and give effect to this purpose. We are however, jointly and severally responsible for all liabilities of the said HUF firm to the Member / DP and agree and confirm that any trade related claim due to the Member/ DP from the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest there on of every co-parcener of the said joint family including the share of the minor co-parceners, if any.

We undertake to advise the Member / DP in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said HUF firm and until receipt of such notice by the Member / DP shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member/ DP for all dues obligations of the said HUF firm in the Members book on the date of the receipt of such notice by the Member and until all such trade related dues and obligations shall have been liquidated and discharged.

The names and dates of birth of the present co-parceners including minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the minor members attains the age of majority and is authorised to act on behalf of, and bind the said HUF Firm.

| Name of Member of HUF (Including minor) | Relationship with Karta | Sex | Date of Birth |
|---|---|---|---|
| 1. ______________________ | ____________________ | ______ | ______________ |
| 2. ______________________ | ____________________ | ______ | ______________ |
| 3. ______________________ | ____________________ | ______ | ______________ |
| 4. ______________________ | ____________________ | ______ | ______________ |

We have received and read a copy of the Member's rules and regulation for the conduct of Trading Accounts and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time, with our consent.

Thank you.
Yours Truly,

| | | | |
|---|---|---|---|
| Name | | | |
| Address | | | |
| Signature | | | |
| | Signature of KARTA (***Along with HUF Rubber Stamp***) | Signature of Adult Co-parcener | Signature of Adult Co-parcener |

# ANNEXURE - 5

AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S)
(To be obtained on Pre-Printed Letter Head of the Firm)

KJMC Capital Market Services Limited
163, Atlanta, 16th Floor, Nariman Point,
Mumbai 400 021, India.

Date : ____ /_____ /20___

Dear Sir

We the partners of M/s ____________________________________________a partnership firm, having its office at ____________________________________city ____________ state ____________________hereby authorize Mr./Ms and Mr./Ms _________________________________to open a trading account on behalf of the firm M/s ____________________________________________ with the Trading Member KJMC Capital Market Services Limited (Member: BSE/NSE/MSEI). He/She/They is/are authorized on behalf of the firm to trade, sell, purchase, transfer, endorse, negotiate documents and/or/otherwise deal through KJMC Capital Market Services Ltd. on behalf of the firm M/s _________________He/She/They is/are also authorized to sign, execute and submit such applications, undertakings, mandatory and voluntary Client Registration Documentss and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

We also recognize that a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per Depository regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No._______________________ opened singly/jointly in the name of Managing partner/partners of the firm. We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Thank you.
Yours Truly,

| | | | |
|---|---|---|---|
| Signature of Partners | | | |
| Name of Partner | | | |

(Signatures of all the partners with the rubber stamp required)

**ANNEXURE - 6**

**FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE**
(To be obtained on pre-printed letterhead of the company)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF ________________________ LTD. AND HAVING ITS REGISTERED OFFICE AT ____________HELD ON _____________DAY OF _______________ 20____AT _______AM. / P.M.

RESOLVED THAT the Company is empowered to deal on Capital Market segment, Futures and Options segment, Currency Derivatives Segment or any other segment that may be introduced by BSE/NSE/MSEI and in pursuance to the same do enter into mandatory and voluntary Client Registration Documents with KJMC Capital Market Services Limited, Members of The National Stock Exchange of India Ltd (NSE),Bombay Stock Exchange Ltd (BSE), Metropolitan Stock Exchange Of India Ltd (MSEI), and the said Trading Member be and is hereby authorized to honors all instructions, oral or written, given on behalf of the Company by any of the under noted authorized signatories:

Further RESOLVED THAT a Beneficiary Account for the Company be opened with CDSL Depository Participant, KJMC CAPITAL MARKET SERVICES LIMITED and the said Depository Participant be and is hereby authorized to honour receipt instruction,execute delivery,pledge/hypothecate shares, on behalf of the company by any of the under noted Authorized Signatories :

| Sr. No. | Name of Authorized Person | Designation | Specimen Signature |
|---|---|---|---|
| 1. | __________________________ | _______________ | __________________ |
| 1. | __________________________ | _______________ | __________________ |

The above person(s) is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through KJMC CAPITAL MARKET SERVICES LIMITED. on behalf of the Company.

RESOLVED FURTHER THAT the above mentioned persons are hereby authorized to sign, execute and submit such applications, undertakings, mandatory and voluntary Client Registration Documents and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

RESOLVED FURTHER THAT the Company hereby nominate, constitute and appoint M/S KJMC CAPITAL MARKET SERVICES LIMITED,(a member of BSE/NSE/MSEI) acting through any of its Directors and / or Officers duly authorized by the company as my/our constituted attorney to operate our beneficial owner account for the purpose of the pay-in obligation arising out of the transactions of sale effected through M/S KJMC CAPITAL MARKET SERVICES LIMITED.

RESOLVED FURTHERTHAT, the Common Seal of the Company be affixed, wherever necessary to give effect to this resolution.

For ___________________________________Ltd

Chairman/Company Secretary (Signature to be verified by the Banker)

## RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS
***as prescribed by SEBI and Stock Exchanges***

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.

2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.

4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.

5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.

6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

### CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.

8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.

9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.

10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

**MARGINS**

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

**TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

**BROKERAGE**

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

**LIQUIDATION AND CLOSE OUT OF POSITION**

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

## DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

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

## TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the mandatory and voluntary Client Registration Documents with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the ‘Rights and Obligations’ document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

**ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete `Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

**ELECTRONIC CONTRACT NOTES (ECN)**

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

**LAW AND JURISDICTION**

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

## INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

**(All the clauses mentioned in the *'Rights and Obligations'* document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)**

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.

2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.

3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.

5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.

7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.

8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.

9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.

10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

### 1. BASIC RISKS:

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

**1.2 Risk of Lower Liquidity:**
Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a

market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

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

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

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

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

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

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

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

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

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

**1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security /

derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

**1.8 System/Network Congestion:**

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

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

**2.1 Effect of "Leverage" or "Gearing":**

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

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

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

**2.2 Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

**2.3 Risk of Option holders:**

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

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

**2.4 Risks of Option Writers:**

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

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

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

**4. GENERAL**

**4.1** The term ‘constituent’ shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

**4.2** The term ‘stock broker’ shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

## GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

**BEFORE YOU BEGIN TO TRADE**

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

**TRANSACTIONS AND SETTLEMENTS**

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

broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

**IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

**DISPUTES / COMPLAINTS**

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

## MANDATORY
## (As required by SEBI circular MIRSD/ SE /Cir-19/2009 dated December 3, 2009)

**Policy a.** refusal of orders for penny stocks

KJMC Capital Market Services Limited (KCMSL) does not place any restriction on trading of any listed security on any of the exchanges except in cases where there are Surveillance concerns like:

1. Securities on which Additional Surveillance Measure (ASM) have been applied
2. Securities on which Graded Surveillance Measure (GSM) have been applied
3. Securities in which unsolicited SMSs is found to be circulated
4. Securities which not in compliance with the listing requirements like Z Group, etc.
5. Any other security with any Surveillance concerns

**Policy b.** setting up client's exposure limit

KCMSL sets the exposure allowed to the client based on the combination of the following factors:

1. Ledger balance
2. Securities provided as Margin Pledge
3. Early pay-in credit expected
4. Past track record of the client in their dealings
5. Networth/ goodwill of the clients
6. Recommendations of the Branch Manager/ Authorized Person The decision of the Chief Risk Officer (CRO) on the matter is final.

**Policy c.** applicable brokerage rate (all securities/ all segments/ all exchanges)

Based on the track record of the clients, past and future volume expectations and the recommendations of the Branch Manager/ Authorized Person, the brokerage of the client is fixed on case to case basis and tariff sheet made. All charges will be capped to the limits allowed by SEBI/ Exchanges

**Policy d.** imposition of penalty/delayed payment charges by either party, specifying the rate and the period not resulting in funding by the broker in contravention of the applicable laws

In case of delay in settlement pay-in obligations/ margin obligations, such delay is interest of 1.5% per month may be charged to the clients (subject to it charging being in a manner not in contravention to applicable laws).

All penalties/ fees/ fines/ charges levied by any Exchange/ Clearing House/ Clearing Corporation/ SEBI/ any regulator on KCMSL due to the acts/ actions/ orders/ trades of the clients will be recovered from the clients as long as such recovery is not restricted by law.

**Policy e**. the right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (Limited to the extent of settlement/margin obligation) In case the client fails to meet his margin/ settlement obligations on same being due, the member shall have the right to sell clients' securities or close clients' positions in a manner as permitted in the rules/ regulations/ bye laws/ circulars of the concerned exchanges

**Policy f.** shortages in obligations arising out of internal netting of trades

In case of internal shortage positions, the same shall be sent for self-auction facility where available. Where self-auction facility is not available/ not availed (and if permissible at the respective exchange), the securities shall be purchased back in the account of the seller who has not delivered, and the securities so purchased shall be given to the buyer in the receipt of the same. In case the securities cannot be purchased back for any reason whatsoever, the positions will be closed out as per Exchange formula.

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

The risk management policy of KCMSL is put on the website of the client. Based on the said policy, the member may not allow the client to take further position in the market. Further, the existing position of the client may be closed and the securities of the client lying with the trading member may be sold when:

1. The client fails to meet his commitment for deposit of funds/ securities (including cases of cheque return)
2. Where the client is unable to provide funds/ securities in a manner that can be transferred to the exchange immediately for pay-in/ margin obligations
3. When the trading member has reasonable grounds to believe that the client is involved in illegal/ unethical/ undesirable activities
4. In case of high market volatility where the current margins of the clients with the Trading Member does not cover the value at risk of the client
5. The client has not paid margins due

**Policy h.** temporarily suspending or closing a client's account at the client's request

At the written/ verifiable verbal request of the client, the trading account of the client would be put in the suspended mode. The said account would remain in suspended mode till such time the client requests for the reactivation of account.

**Policy i.** deregistering a client

A client will be deregistered on the following situations:

1. Where the client has defaulted at the trading member
2. At the request of the client for the same
3. By trading member with advance notice

**Policy j.** Policy for inactive accounts (dormant accounts)

A client will be marked as dormant/ inactive if no trade takes place for a period of twelve months. On the account being marked inactive, all the clients' funds and securities, if any, will be returned to the client. The account will be activated at the request of the client in a manner permissible by law.

**Policy k.** Additional information under SEBI circular ref. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20-Jun-2019

As per the SEBI circular ref. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20-Jun-2019 and the Frequently Asked Questions issued by the Stock exchanges on 27-Sep-2019, the following policies will be followed by us:

1. Where securities lying with KCMSL in collateral or otherwise are in excess of what can be retained by KCMSL as per the norms of the exchanges, such excess securities will be returned to the client at the time of funds settlement
2. Any instructions to KCMSL for maintaining running account of securities shall stand deleted and KCMSL shall not act upon such instructions
3. In case of non-meeting of settlement obligations, the positions of the clients shall be liquidated in the manner as prescribed in the Risk Management policy of KCMSL.
4. The payment terms would be that the clients have to meet their margin and settlement obligations at a level as prescribed by the exchanges in the manner as prescribed in the Risk Management policy of KCMSL.

# PMLA POLICY

## Background

KJMC CAPITAL MARKET SERVICES LIMITED is a SEBI registered Stock broker with registration no. INZ000221631 and is approved as Trading and Clearing member with BSE Limited (0196) and National Stock Exchange of India Limited (07199) and also is registered Depository Participant of CDSL having SEBI registration number IN- DP -615-2021.

## Objectives

The policy aims to develop a diligent and compliance sensitive culture through a focused approach for customer acceptance and identification procedures for risk categorisation and identification of suspicious transactions. The key objectives of the policy are as follows:

- Put in place appropriate procedures for customer acceptance based on their risk category and customer identification based on due diligence at the time of client on-boarding
- To know / understand its customers and their financial dealings better and manage its risks in a prudent manner.
- Make prudent policies which will prevent KJMC CAPITAL MARKET SERVICES LIMITED from being used, intentionally or unintentionally, by criminal elements for money laundering or terrorist financing activities, through the various channels, products and services it offers
- Develop a comprehensive Anti-Money Laundering (AML) / Combating Financing of Terrorism (CFT) programme in line with the regulatory requirements, covering systems and controls, training of staff and management oversight and ensure its implementation

- Facilitate a robust controls environment for detection and reporting of suspicious activities in line with applicable laws
- Ensure that relevant staff are appropriately trained on KYC / AML norms and procedures including identification and acceptance of customers, monitoring their day-to-day financial dealings and report any suspicious dealing to appropriate authorities
- Follow the KYC norms laid down by FIU-IND and the concerned Regulators of the reporting entity
- Develop a comprehensive system with defined rules to identify suspicious transactions and report them to FIU-IND without disclosing ("tipping off") the client
- Periodically review the policy and approval of the Board.

## Applicability

This policy will be applicable to all customers who avail any of the products and services offered by the KJMC CAPITAL MARKET SERVICES LIMITED for broking services, depository services. In case KJMC CAPITAL MARKET SERVICES LIMITED takes up any other business or activity the same shall be included in the Policy automatically and the provisions of the policy made applicable to the said business/ activity unless specific business wise provisions are included in the policy by way of amendments' captures the details of the AML/ CFT framework including customer acceptance, customer identification, transaction monitoring, roles and responsibilities of Principal Officer, training and reporting requirements.

## Governance Structure

The Board of Directors and Senior Management including the Operations Committee appointed by the Board will monitor compliance with KYC/AML/CFT guidelines across all functions / business units.

A senior executive of KJMC CAPITAL MARKET SERVICES LIMITED shall be appointed as Principal Officer for proper discharge of legal obligations and report suspicious transactions to authorities. Principal Officer would act as a central reference point in framing procedures for reporting of suspicious transactions and shall play an active role in the identification and assessment of potentially suspicious transactions. Any change in name, designation and addresses including email addresses of the Principal Officer shall be intimated to the office of the Director –FIU. The Principal Officer will facilitate and monitor compliance with regulatory guidelines with respect to customer acceptance, customer identification, and transaction monitoring and risk management. The Principal Officer will also ensure that the suspicious transactions reporting are done in a timely manner and accurately to the regulator. The Principal Officer along with Compliance Team will also ensure appropriate dissemination of regulatory updates, pertaining to KYC/AML/CFT, to business units and guide these business units on compliance requirements. The Principal Officer will also identify emerging risk areas of non-compliance with PMLA guidelines.

The Designated Director would be responsible to ensure overall compliance with the obligations imposed under chapter IV of the PMLA Act & Rules.

The internal auditor shall inter alia, oversee the implementation of the KYC/AML/CFT framework and compliance of the guidelines issued by the respective regulators.

## Client Due Diligence (CDD)

The CDD measures comprise the following -

i. Obtaining sufficient information in order to identify persons who beneficially own or control the securities account. Whenever it is apparent that the securities acquired or maintained through an account are beneficially owned by a party other than the client, that party should be identified using client identification and verification procedures. The beneficial owner is the natural person or persons who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted or who gets the benefit of the transaction. It also includes those persons who exercise ultimate effective control over a legal person or arrangement.

ii. Verify the client's identity using reliable, independent source documents, data or information where ever available;

iii. KJMC CAPITAL MARKET SERVICES LIMITED shall make all efforts to verify the KYC documents from the issuing authority.

iv. Make an effort to obtain from the clients the details of beneficial ownership and control, i.e. determine which individual(s) ultimately own(s) or control(s) the client and/or the person on whose behalf a transaction is being conducted;

Following are the requirements for clients other than individuals:

i. **For clients other than individuals or trusts**: The general Rule when the client is a person other than an individual or trust, viz., company, partnership or unincorporated association/body of individuals, identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the following information:

a. The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

**Explanation:** Controlling ownership interest means ownership of/entitlement to/ exercises control over:

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

b. In cases where there exists doubt under clause (a) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means would be considered.

**Explanation:** Control through other means can be exercised through voting rights, agreement, arrangements or in any other manner.

c. Where no natural person is identified under clauses (a) or (b) above, the identity of the relevant natural person who holds the position of senior managing official.

ii. **For client which is a trust**: Where the client is a private trust, identify the beneficiaries of the trust and take reasonable measures to verify the identity of such persons with beneficial ownership of 15% or more and any other natural person

exercising ultimate effective control over the trust through a chain of control or ownership.
In case of a public trust, the identity of the settler of the trust, the trustee, the protector shall be established

For the purpose of client identification the following will be considered:

i. Verify the identity of the ultimate beneficial owner of the client and/or the person on whose behalf a transaction is being conducted;
ii. Understand the ownership and control structure of the client;
iii. Conduct ongoing due diligence based on available facts disclosed by the clients and scrutiny of the transactions and account throughout the course of the business relationship to ensure that the transactions are consistent with KJMC CAPITAL MARKET SERVICES LIMITED 's knowledge of the client, its business and risk profile, taking into account where necessary, the client's source of funds.
iv. Periodically (once in 2 years) request clients and collect from them updated information about beneficial owners under the CDD process. In case the client does not submit the said updated information the KJMC CAPITAL MARKET SERVICES LIMITED shall use the available information for CDD process

## Customer Acceptance and Monitoring

In order to ensure that the guidelines are complied, KJMC CAPITAL MARKET SERVICES LIMITED will implement a Comprehensive System of Internal Control across the company. KJMC CAPITAL MARKET SERVICES LIMITED will ensure client profiling and monitoring system, at the time of on-boarding process, monitoring of trading pattern of the clients, depository transactions and other financial transactions maintained with KJMC CAPITAL MARKET SERVICES LIMITED are followed.

## i. Client Identification

The customers may approach KJMC CAPITAL MARKET SERVICES LIMITED to avail the products and services offered through the Mobile/Web Application. In case of a new customer who whose KYC is not available in the KRA system, KJMC CAPITAL MARKET SERVICES LIMITED will use the KYC details entered by the customer on the Mobile/Web Application for carrying out the KYC verification process. Once a new customer's KYC details and documents are verified by KJMC CAPITAL MARKET SERVICES LIMITED, the same will be shared with KRA and the Central KYC (CKYC).

In case the investor's KYC is available in the KRA system, his/her KYC details and documents will be fetched from KRA. KJMC CAPITAL MARKET SERVICES LIMITED will also check and the same will be uploaded to CKYC for registration.

Customer identification means undertaking due diligence of the prospective client before commencing an account-based relationship. This includes identifying the customer and his/her address on the basis of one of the Officially Valid Documents (OVDs) which may be obtained digitally or accept the customer's details by following e-KYC procedure through KRA/CKYC or any other authentic channels.

KJMC CAPITAL MARKET SERVICES LIMITED will ensure that an account is not opened where appropriate CDD/KYC measures cannot be applied. This shall apply in cases where it is not possible to ascertain the identity of the client, or the information provided is suspected to be non - genuine, or there is perceived non - co-operation of the client in providing full and complete information.

KJMC CAPITAL MARKET SERVICES LIMITED will accept the following information/OVDs from the Individual customer in order to carry his/her KYC unless KYC details are available with KRA or CKYC:

i. Photo of the original PAN Card (This will be a mandatory document for the purpose of Proof of Identity (POI))
ii. Photo of the valid Original Address Proof (POA). (Any one of Passport, Aadhaar Card, Driving License [except issued by Govt. of NCT] or Voter ID); Bank statement or Passbook/ Demat account statement/ Telephone bill (Not older than 3 months from account opening) or any other document permitted by FIU/SEBI.
iii. Personal Details (Mobile Number, E-mail Address, Address etc.)

iv. Bank Details

v. Other Details (Occupation, Income Range, Tax Residency Declaration, PEP Declaration etc.)

vi. IPV video for In-person verification

vii. Residential Status

viii. Photo

ix. Additional documents may be sought from client for enhanced due diligence*: (Any one of the below) –

   a. Copy of ITR Acknowledgement(Latest assessment year)
   b. Copy of Annual Accounts
   c. In case of salary income - Salary Slip(Last 3 months), Copy of Form 16 (Latest assessment year)
   d. Net worth certificate (latest financial year)
   e. Copy of depository participant account holding statement ( Last 3 months))
   f. Bank account statement for last 6 months
   g. Self-declaration by customer while on-boarding

   ** any one of the above listed documents would be mandatory in case client opts for trading in derivatives segment, which is as per SEBI requirement to determine client acceptance for trading in derivatives segment. These documents will also be taken from the client as part of enhanced due diligence*

The customer information will be verified by KJMC CAPITAL MARKET SERVICES LIMITED in order to carry due diligence at the time of on-boarding to establish his/her identity. The verification process shall include the following:

i. Verifying the PAN with CBDT (using third party services ).

ii. Matching the name of customer with his/her PAN.

iii. Matching the address mentioned in the OVD document with the address provided by the customer.

iv. Verifying if the bank account mentioned belongs to the respective client using Penny Drop Services viz., digital verification of bank account. Further if it fails, the customer is required to provide his/her bank statement (dated back to maximum 3 months) or cancelled cheque.

v. Verifying the Photo/IPV video of the customer with the photo on the Pan card.

vi. Verifying the DOB and father’s name with the PAN card.

vii. Verifying Mobile Number and E-mail address using One Time Password (OTP).

**ii. Customer Acceptance**

At the time of on-boarding, the PAN and Name of the new client will be screened against various database viz: UNSC, OFAC, SEBI Watchout, PEP list, RBI Defaulter's List and other list as applicable/ notified from time to time.

I. If there is a PAN match, then account of such individual will not be opened (category R)
II. Apart from debarment if any other regulatory action is observed against the concerned individual then the account will be opened and move to EOD verification (category Y)
III. For other individuals with no PAN match, we will go ahead with on-boarding process (category G)
IV. In case of exact or near Name match, we will open the account and move to EOD verification (category Y)
V. For other individuals with no Name match, we will go ahead with on-boarding process (category G)
VI. On a time to time basis any client in category Y are identified/matched with the PAN /Name in the above sanction list, the client shall be marked for monitoring/deactivation

On a time to time basis KJMC CAPITAL MARKET SERVICES LIMITED will perform end of day verification to identify for any changes in customer acceptance. Existing database of Investment Ready clients (Category Y and G) as well as previously debarred customers (category R) in KJMC CAPITAL MARKET SERVICES LIMITED system will be scanned for change in status.

I. Category Y clients will be revisited on the basis of risk parameters to check if they can be converted into exact match with the help of any additional information viz as Order details, Date of Birth, City, Pin code or any identification number and take suitable remedial action
II. Category R clients will be rechecked to confirm if the debarment status still continues
III. Category G clients will be rescanned for any new regulatory action

iii. **Risk Profiling:**

KJMC CAPITAL MARKET SERVICES LIMITED will put in place appropriate measures for customer acceptance which differentiate the on-boarding of customers based on their risk profiling. KJMC CAPITAL MARKET SERVICES LIMITED will continuously perform CDD as an essential part of this policy, with minimum inconvenience to the customers.

The customers shall be categorized as high, medium and low risk depending on risk perception and due diligence on customers shall be based on the risk profile of the customer. The risk profiling of customer shall be done depending on the nature of business activity, source of funds, financial status, and such other factors as per regulatory guidelines.

KJMC CAPITAL MARKET SERVICES LIMITED plans to have the categorisation based on following customer profile:

| Risk Category | Customer Profile | Periodicity of review, once in |
|---|---|---|
| High | Customers requiring very high level of monitoring, e.g., those involved in cash intensive business, Politically Exposed Persons (PEPs) or persons of foreign origin. Including all types of clients based on the risk foot print matrix as attached in Annexure I. | 1 year |
| Medium | Customers who are likely to pose a higher than average risk will be categorised as medium risk depending on the background, , country of origin, sources of funds, customer profile, etc. | 5 years |
| Low | Individuals (other than High Net Worth) and entities, whose identity and source of income can be easily identified, and customers in whose accounts the transactions confirm to the known profile. | 5 years |

***The detailed understanding of each Risk Foot Print is given in Annexure I**

If the proposed customer's PAN details matches with the available data in the risk profiling categories mentioned above, the actions will be taken according to the parameters mentioned above. In case of Name match for a prospective customer, further due diligence would be initiated before on-boarding to conclude if it's a genuine match. Same rules will be followed if an existing client falls in any of the risk categories.

Additionally, Clients of Special Category shall be categorized as High Risk Clients and their financial details and nature of business would be updated on a periodical basis. Ongoing due diligence would be carried out for the clients based on their risk profiling. Video based in – person verification is to be considered as a Face to Face interaction and hence all individual client of KJMC CAPITAL MARKET SERVICES LIMITED will not fall under CSC

**Clients of Special Category (CSC) as defined for this policy -**

- **i.** Non-Resident clients
- **ii.** High net-worth clients,
- **iii.** Trust, Charities, Non-Governmental Organizations (NGOs) and organizations receiving donations.
- **iv.** Companies having close family shareholdings or beneficial ownership
- **v.** "Politically Exposed Persons" (PEPs) are individuals who have been entrusted with prominent public functions by a foreign country, including the heads of States or Governments, senior politicians, senior government or judicial or military officers, senior executives of state-owned corporations and important political party officials.

- **vi.** Companies offering substantial foreign exchange offerings.
- **vii.** Clients in high risk countries where existence / effectiveness of money laundering controls is suspect, where there is unusual banking secrecy, countries active in narcotics production, countries where corruption (as per Transparency International Corruption Perception Index) is highly prevalent, countries against which government sanctions are applied, countries reputed to be any of the following –Havens / sponsors of international terrorism, offshore financial centres, tax havens, countries where fraud is highly prevalent.
- **viii.** Clients with dubious reputation as per public information available etc.

**Dormant/Inactive Account**

KJMC CAPITAL MARKET SERVICES LIMITED will classify accounts as dormant / inactive as per Dormant / Inactive Policy as defined under the KJMC CAPITAL MARKET SERVICES LIMITED Dormant Policy. Reactivation of such accounts will be done as per the KJMC CAPITAL MARKET SERVICES LIMITED Dormant Policy

## Maintenance and Preservation of Records

**Record Keeping / Information to be Obtained / Retention of Records**

Steps will be taken to comply with the record preservation and maintenance requirements as per regulatory guidelines. The following information as regards to the accounts of the customers is retained in order to maintain satisfactory audit trail:

i. The beneficial owner of the account

ii. The identification documents of the clients

iii. The volume of the funds flowing through the account

iv. Communication with the clients regarding their transactions and identification

v. Ledger details of the clients

vi. Any other documents/files as mandated by the regulators from time to time

The original documents shall be stored in both physical and tamper proof electronic mode in a manner which can be retrieved as required time to time. The documents are maintained for a minimum period of 5 years from closure of account (as specified by SEBI) or more in case specified by other regulators. In the case of on-going investigation, the documents should be maintained till it is confirmed that the case under investigation is closed. Proper back-up of the electronic data shall also be preserved. These will be governed by the KJMC CAPITAL MARKET SERVICES LIMITED 's record Keeping policy.

**Records of information reported to the Director, Financial Intelligence Unit – India (FIU – IND):** KJMC CAPITAL MARKET SERVICES LIMITED shall maintain and preserve the records of information related to transactions, whether attempted or executed, which are reported to the Director, FIU – IND, as required under Rules 7 and 8 of the PMLA Rules which lays down the procedure and manner of furnishing information and specifies the time limits of various kinds of reports to be submitted to Director, FIU-IND, for a period of five years from the date of the transaction between the customer and KJMC CAPITAL MARKET SERVICES LIMITED .

## Monitoring Of Transactions And Reporting Of Suspicious Transactions

Transaction monitoring is an essential and critical aspect of the PMLA regulations and is required in order to monitor and report potential money laundering and terrorist financing exposure of KJMC CAPITAL MARKET SERVICES LIMITED. It involves identifying and reviewing unusual or unrelated or suspicious transactions on an ongoing basis based on risk categorization of customers. All the transactions will be monitored to ensure that they are consistent with customer's profile and source of funds. For the purpose of suspicious transactions reporting, 'transactions integrally connected', 'transactions remotely connected or related' should also be added. A record of all transactions would be preserved and maintained in line with regulatory requirements and reported to the Director, FIU-IND where suspicious.

In addition to the above mentioned, this policy seeks to establish the following aspects of transaction monitoring:

1. Adopt a continuous approach towards due diligence for monitoring customer for:
    a. Large and complex transactions and those with unusual patterns, which have no apparent economic rationale or legitimate purpose.
    b. Transactions which exceed the thresholds prescribed for specific categories of accounts

2. Develop systems for periodical review of risk categorization of customers and the need for applying due diligence measures. Such reviews will be conducted on an annual basis

3. Develop appropriate procedures for reporting suspicious transactions. The procedures to incorporate the list of circumstances as a guidance to identify suspicious transactions in line with the regulatory guidelines.

4. Develop mechanism to report suspicious transactions to the Principal Officer. After due review, Principal Officer will report such instances to the Board of Directors and relevant regulatory authorities.

**Depository Alerts**

The alerts sent by depositories and stock exchanges shall be treated as red flag alerts and taken up for further scrutiny KJMC CAPITAL MARKET SERVICES LIMITED shall scrutinizes every alert based on parameters defined and the data of client profile available and decides whether the same is suspicious or not.

**Internal alerts**

Internal alerts shall also be generated based on the various criteria mentioned below and the same is scrutinized to determine if they are suspicious. Complex and unusually large transactions shall also be monitored and analysed. The alerts will be reviewed by designated KJMC CAPITAL MARKET SERVICES LIMITED officials based on nature of the transaction. Based on the review by Principal Officer, who will be final authority, shall decide on reporting to Board of Directors, regulatory authorities and external stake holders. Principal Officer shall have full access to all the data and information related to the matter.

From the date of generation of an alert, KJMC CAPITAL MARKET SERVICES LIMITED will make all efforts to determine if it's suspicious or not. KJMC CAPITAL MARKET SERVICES LIMITED will ensure that the suspicious transactions shall be reported within 7 days from the date of determining that the same is suspicious and records of all the alerts with observations are preserved for at least 5 years or any period as decided by FIU (IND) from time to time.

For identification of suspicious transactions, the activities in clients' accounts shall be regularly monitored based on the parameters set in **Annexure II**. An illustrative list of circumstances which may be in the nature of suspicious transactions is given below:

- Substantial increase in activity without any apparent cause
- Transactions with no apparent economic or business rationale
- Sudden activity in dormant accounts;
- Source of funds are doubtful or inconsistency in payment pattern;
- Transfer of investment proceeds to apparently unrelated third parties;

- Multiple transactions of value just below the threshold limit so as to avoid possible reporting;
- Unusual transactions by CSCs;
- Purchases made on own account transferred to a third party through off market transactions through DP Accounts;
- Suspicious off market transactions;
- Large deals at prices away from the market.
- Trading activity in accounts of high risk clients based on their profile, business pattern and industry segment.

Attempted, abandoned or aborted transactions by clients on being asked to give some details or to provide documents that give rise to suspicion. If not clarified is also a suspicious transaction and must be reported.

KJMC CAPITAL MARKET SERVICES LIMITED shall ensure that there is continuity in dealing with the client as normal until told otherwise and the client should not be informed of the report/suspicion.

In exceptional circumstances, in order to control business and financial risk, KJMC CAPITAL MARKET SERVICES LIMITED may decide that the client should not be permitted to continue to operate the account, and transactions may be suspended.

**In order to identify Suspicious transactions the provisions laid down in the Surveillance policy will be applicable**

## Combating Financing of Terrorism

An updated list of individuals and entities which are subject to various sanction measures such as freezing of assets/accounts, denial of financial services etc., as declared by SEBI or as approved by the Security Council Committee established pursuant to various United Nations' Security Council Resolutions (UNSCRs) can be accessed at its website at http://www.un.org/sc/committees/1267/consolist.shtml.shall be maintained by KJMC CAPITAL MARKET SERVICES LIMITED . For this purpose KJMC CAPITAL MARKET SERVICES LIMITED will currently rely on the updates given by third party service provider

KJMC CAPITAL MARKET SERVICES LIMITED will scan all existing accounts to ensure that no account is held by or linked to any of the entities or individuals included in the list. Full details of the accounts bearing any resemblance with any of the individuals / entities in the list will be furnished to SEBI and FIU-IND.

**Freezing of Assets under Section 51 A of the Unlawful Activities Prevention Act (UAPA), 1967**

The Unlawful Activities (Prevention) Act, 1967 (UAPA) has been amended by the Unlawful Activities (Prevention) Amendment Act, 2008. Government has issued an Order dated August 27, 2009 detailing the procedure for implementation of Section 51A of the Unlawful Activities (Prevention) Act, 1967 for prevention of, and for coping with terrorist activities. In terms of Section 51A, the Central Government is empowered to freeze, seize or attach funds and other financial assets or economic resources held by, on behalf of or at the direction of the individuals or entities listed in the Schedule to the Order, or any other person engaged in or suspected to be engaged in terrorism and prohibit any individual or entity from making any funds, financial assets or economic resources or related services available for the benefit of the individuals or entities listed in the Schedule to the Order or any other person engaged in or suspected to be engaged in terrorism. For this purpose, KJMC CAPITAL MARKET SERVICES LIMITED will currently rely on the List updated by third party service provider.

KJMC CAPITAL MARKET SERVICES LIMITED will adopt the below approach to follow the procedure laid down in the Order and ensure meticulous compliance to the Order:

1. On receipt of list of individuals and entities subject to UN Sanctions from SEBI, procedure prescribed in Section 51 A of Unlawful Activities Prevention Act (UAPA), 1967 with respect to freezing / unfreezing of financial assets, would be implemented expeditiously for prevention of and coping with terrorism finance.

2. Updated designated lists will be maintained in electronic form and a check will be run on the given parameters on a regular basis to verify whether individuals or entities listed in the schedule to the Order (referred to as designated individuals/entities) are holding any funds, financial assets or economic resources with them.

3. In case, the particulars of any of its customer match with the particulars of designated individuals/entities KJMC CAPITAL MARKET SERVICES LIMITED will report

immediately, not later than 24 hours from the time of finding out such customer, full particulars of the funds, financial assets or economic resources or related services held in the form of securities held by such customer on its books to the Joint Secretary (CTCR Division), Ministry of Home Affairs, at Fax No.011-23092569 and also convey over telephone on 011-23092736. The particulars apart from being sent by post should necessarily be conveyed through e-mail at jsctcr-mha@nic.in.

4. A copy of the communication mentioned in (3) will be sent/reported online or through e-mail (sebi_uapa@sebi.gov.in) to the UAPA nodal officer of SEBI, Officer on Special Duty, Integrated Surveillance Department, Securities and Exchange Board of India, SEBI Bhavan, Plot No. C4-A, "G" Block, Bandra Kurla Complex, Bandra (E), Mumbai 400 051 as well as the UAPA nodal officer of the State/UT where the account is held and FIU-IND.

5. In case, the match of any of its customer with the particulars of designated individuals/entities is beyond doubt, KJMC CAPITAL MARKET SERVICES LIMITED would prevent designated persons from conducting financial transactions, under intimation to Joint Secretary (CTCR Division), Ministry of Home Affairs, at Fax No. 011-23092569 and also convey over telephone on 011-23092736. The particulars apart from being sent by post should necessarily be conveyed through e-mail at jsctcr-mha@nic.in.

KJMC CAPITAL MARKET SERVICES LIMITED will file a Suspicious Transaction Report (STR) with FIU-IND covering all transactions in the accounts covered by paragraph above, carried through or attempted, as per the prescribed format.

# Reporting to Financial Intelligence Unit-India

KJMC CAPITAL MARKET SERVICES LIMITED has registered itself with FIU-IND in its FIN-NET utility for the purpose of reporting Suspicious Transactions and has obtained a FIUREID number, which would be used as a reference id for uploading the STRs.

In terms of the PMLA Rules, KJMC CAPITAL MARKET SERVICES LIMITED is required to report information relating to suspicious transactions to the Director, Financial Intelligence Unit-India (FIU-IND) at the following address:

Director,
FIU-IND, Financial Intelligence Unit-India,
6th Floor, Hotel Samrat,
Chanakyapuri,
New Delhi-110021.
Website: http://fiuindia.gov.in

## Designation of an officer for reporting of Suspicious Transactions

The board of KJMC CAPITAL MARKET SERVICES LIMITED shall appoint a senior officer as a 'Principal Officer' and in case of any change, the same along with the newly appointed 'Principal Officer' shall be approved by the board.

The name of the Principal Officer shall be intimated to the Director-FIU. He/She will act as a central reference point in facilitating onward reporting of suspicious transactions and for playing an active role in the identification and assessment of potentially suspicious transactions.

Further to the existing requirement of designation of a Principal Officer, the PMLA Regulations also require the appointment of a Designated Director to manage and monitor compliances to address concerns of money laundering and suspicious transactions undertaken by clients. The name of such designated director and changes in his/her appointment by the board of directors shall be conveyed the Director-FIU.

## Employees Hiring/ Employees Training / Investors' Education

### Hiring of Employees

KJMC CAPITAL MARKET SERVICES LIMITED shall adopt adequate screening procedures in place to ensure high standards when hiring employees.  Screening of all the employees is carried out to ensure that their name/Pan does not match with any barred, notified entity, having criminal records or barred by the regulators.  It identifies the key positions within the organizations and ensures that the employees taking up such key positions are suitable and competent to perform their duties.  Further, no candidate is selected who has ever been convicted of offence under Money Laundering Act or any other civil or criminal Act.

## Employees' Training

All employees shall be given initial training on PMLA guidelines at the time of induction for new joiners. AML policy is uploaded in the intranet portal for the information of all the staff so that they can upgrade their knowledge on regulatory guidelines and KJMC CAPITAL MARKET SERVICES LIMITED 's initiative. Records of these training will be stored. Training requirements shall have specific focuses for frontline staff, back office staff, compliance staff, risk management staff and staff dealing with clients.

## Investors' Education

Implementation of KYC procedures requires KJMC CAPITAL MARKET SERVICES LIMITED to demand certain information from customer which may be of personal nature or which has hitherto never been called for. This sometimes leads to a lot of questioning by the customer as to the motive and purpose of collecting such information. The employees of KJMC CAPITAL MARKET SERVICES LIMITED shall be trained to explain to the customers the regulatory requirements and benefits of adhering to the KYC guidelines and seek cooperation of the customer. Further, KJMC CAPITAL MARKET SERVICES LIMITED shall prepare specific communication so as to educate the customer of the objectives of Client Due Diligence.

# Policy For Handling Good Till Date Orders

## Background

In accordance with Exchanges circulars NSE/INSP/62528 dated June 21, 2024, and BSE Notice No. 20240622-2 dated June 22, 2024, regarding "Policy on Handling of Good till Cancelled Orders," KJMC Capital Market Services Limited policy for managing Good till Cancelled (GTC) or Good till Triggered orders (GTT), or Good till Date (GTD) or similar types of orders provided to clients.

## Scope

KJMC has established this policy to include the following provisions:

a. Detailed descriptions of GTC/GTT/GTD orders, including validity parameters.

b. Procedures for managing such orders during corporate actions (e.g., cancellations, price resets, and retention of unexecuted orders).

c. A timeline for notifying clients about relevant corporate actions affecting unexecuted orders, which shall not be later than one day before the ex-date of the action.

## Good Till Cancelled/Good Till Triggered Orders

a. KJMC Capital Market Services Limited allows clients to place Good till Date ("GTD") orders.

b. GTD orders enable clients to place buy and sell limit orders for shares, index futures, and index options, specifying a validity period within KJMC's maximum allowed date. The client sets the "Order Validity Date," which is why this order type is called a GTD order.

c. All current and new clients eligible to trade in Equity Cash products and Derivatives can use the GTD facility.

d. The GTD order facility is applicable solely for Equity Cash products, Index Futures, and Index Options products. This facility is not available for other products like Margin and Spot. Any new segments where GTD orders are introduced will be updated on the KJMC website and reflected in this policy.

e. Clients may specify disclosed quantities when placing cash orders with GTD validity.

f. GTD orders must be placed at a limit price and cannot be submitted at market price.

g. If a GTD order remains unexecuted in full, KJMC is authorized to place new orders for the unexecuted quantity on subsequent trading days until the entire quantity is executed or the validity expires.

h. GTD orders can be placed during the pre-open session for all eligible scrips, with only pre-open enabled scrips sent to the exchange during this period. Orders for non- enabled scrips will be treated as overnight orders.

i. Clients must ensure that sufficient funds or margins are available in their accounts to cover unexecuted quantities of GTD orders.

j. The “Order Validity Date” is the date specified by the client, which must be less than or equal to KJMC's maximum validity date. Orders cannot be placed with a GTD validity beyond this maximum.

k. If the GTD order validity date falls on a non-trading day, the order will expire on the last trading day before that non-trading day.

l. After placing a GTD order, KJMC will continue to place orders for unexecuted quantities during the validity period until fully executed, cancelled, or rejected.

m. Orders will be placed daily as overnight orders during the validity period if they remain unexecuted.

n. GTD orders can be placed for all eligible securities in BSE and NSE, excluding debt securities, NCDs, bonds, and illiquid securities.
o. GTD orders may be placed both during and after market hours.
p. Clients can place GTD orders via Call N Trade.
q. A maximum of five GTD orders per scrip is allowed, with a total cap of thirty GTD orders across all eligible scrips.
r. Clients may modify the quantity or limit price of GTD orders while they are in 'Ordered' or 'Requested' status. GTD orders in 'Blocked' status cannot be modified, only cancelled.
s. All GTD orders are subject to cancellation.
t. Brokerage rates and applicable charges for GTD orders are consistent with those for regular transactions, and GTD orders will be settled like standard equity/derivative market transactions.
u. Clients may place GTD buy and sell orders (open positions only) under the E-Margin product.
v. Stop-loss orders may also be placed with GTD validity.

## Handling of GTD Orders During Corporate Actions

Following a corporate action, GTD orders will be validated against the Daily Price Range (DPR) issued by the exchange. The system will check for circuit limits and validate orders accordingly for the next trading day. Orders failing to meet these criteria will be marked as "GTD Blocked" for retry on subsequent trading days. Notifications via Emails and SMS will be sent to clients if GTD orders fall short of funds/securities or blocked due to price limitations and beyond Good dividend pay-out ratio (DPR) range.

## Client Notification of Upcoming Corporate Actions

Clients with unexecuted GTD orders will be notified of all upcoming corporate actions (e.g., dividends, bonuses, splits) at least one day before the ex-date. Clients should Proactively review their GTD orders for potential impacts from these actions, assuming responsibility for modifying or cancelling orders as needed.

# TARIFF SHEET

<table>
<tr><td rowspan="10">Brokerage</td><td colspan="4">CASH SEGMENT</td></tr>
<tr><td rowspan="3">Trading</td><td rowspan="3"></td><td>Delivery</td><td></td></tr>
<tr><td>Delivery (Physical)</td><td></td></tr>
<tr><td>Auction Participation (only Demat)</td><td></td></tr>
<tr><td colspan="2">Min -</td><td colspan="2">Min -</td></tr>
<tr><td colspan="4">FUTURE SEGMENT</td></tr>
<tr><td colspan="2">1st Leg</td><td colspan="2">2nd Leg (Intra Day Square off)</td></tr>
<tr><td colspan="2"></td><td colspan="2"></td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4">OPTION SEGMENT<br>.</td></tr>
<tr><td colspan="2">Demat Charges</td><td colspan="3">0.02% of value of Rs.15/- whichever is higher.</td></tr>
<tr><td colspan="2">Delayed Payment Charges</td><td colspan="3">1.5% Per Month</td></tr>
<tr><td colspan="2">Franking Charges for POA</td><td colspan="3">600/- one Time</td></tr>
<tr><td colspan="5">The Above rates are exclusive of transaction charges, Stamp Duty, SEBI Charges, Securities Transaction Tax and GST which will be charged extra at the rate prevailing from time to time.</td></tr>
</table>

* The above charges are subject to changes made by Exchange/Regulator/Govt.

Statutory: Brokerage Charged will not exceed the rate specified by the Exchanges / SEBI from time to time.

5/18

# PART – B

# VOLUNTARY DOCUMENTS

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**DECLARATION FOR COMMON MOBILE NUMBER & EMAIL ID**

To
KJMC Capital Market Services Limited
163, Atlanta, 16th Floor, Atlanta
Nariman Point, Mumbai-400021.

Dear Sir/Madam,

I/We understand that it has been mandated by SEBI that separate mobile number and email address is to be captured for each client. Further to this, under exceptional circumstances, KJMC Capital Market Services Limited, (Member of NSE, BSE, MSEI & CDSL Depository Participant) may, at the specific written request, upload the same mobile/E-mail address for more than one account provided such accounts belong/s to one family*****.

* - **Family for this purpose would mean Self, Spouse, Dependent Children & Dependent Parents**.

| | |
|---|---|
| • Mobile Number | |
| • Email ID | |

I / We hereby declare that the afore said Mobile Number or Email ID belongs to

☐ Self

☐ Director /Authorized Signatory (Mr/Ms ________________________________)

☐ My Family (Spouse, Dependent Children and Dependent Parents)

Family Member Name : ___________________________________

Relationship with the Cllient: _____________________________________

Client Name: ____________________________

6/18 ______________________________

CONSENT LETTER

I hereby submit my Aadhaar number and PAN as issued by Government of India, to KJMC Capital Market Services Limited and voluntarily give my consent to link them to all my accounts / relationships (existing and new) maintained with KJMC Capital Market Services Limited in my individual capacity and / or as an authorized signatory in non-individual accounts.

I the holder of the enclosed Aadhaar number hereby voluntarily give my consent to KJMC Capital Market Services Limited to obtain and use my Aadhaar number, Name and Fingerprint/Iris and my Aadhaar details to authenticate me with UIDAI as per Aadhaar Act, 2016 and all other applicable laws.

KJMC Capital Market Services Limited has informed me that my Aadhaar details and identity information would only be used for demographic authentication*, validation, e-KYC purpose, OTP authentication including; for availing broking and or demat services, operation of my accounts / relationships and for benefits and services and/or any other facility relating to broking / demat operations.

KJMC Capital Market Services Limited has informed that my biometrics will not be stored / shared and will be submitted to the CKYC / KRA / SEBI and or Exchanges only for the purpose of authentication.

I have been given to understand that my information submitted to KJMC Capital Market Services Limited herewith shall not be used for any purpose other than mentioned above.

I also authorize KJMC Capital Market Services Limited to link and authenticate my Aadhaar number to all my Relationships with the Broker / DP as may be opened in future in addition to the existing accounts

I will not hold KJMC Capital Market Services or any of its officials responsible in case of any incorrect information provided by me.

I confirm the above by providing my Aadhaar copy duly self attested

Client Name: ______________________________

7/18 ______________________________

Date:__________ Place:__________

**(VOLUNTARY CLAUSES)**

# ANNEXURE – 7

This is in addition to the clauses mentioned in **RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB BROKERS AND CLIENTS** as prescribed by SEBI and Stock Exchanges for the Purpose of mutual convenience and smooth conduct of Business Relations. **CLIENT** is required to note that the below mentioned clauses are not mandatory as per the Stock Exchange/ SEBI requirements. The CLIENT may revoke any or all the clauses of this document by communication in writing and in such an event the Member reserves a right to terminates some or all the services permitted to the **CLIENT.**

## 01. MEMBER

For the purpose of this mandatory and voluntary Client Registration Documents, MEMBER, ("KJMC Capital Market Services Ltd") will include the following entities:
KJMC Capital Market Services Limited; Member of Bombay Stock Exchange Ltd (BSE), bearing SEBI Registration No. INZ000221631, Member of the National Stock Exchange of India Ltd. (NSE) bearing SEBI Registration No. INZ000221631, Member of MCX Stock Exchange Limited bearing SEBI Registration No. INZ000221631 and Depository Participant with the Central Depository Services of India Ltd. (CDSL) bearing SEBI Registration Certificate No. IN-DP-CDSL-462-2008.

## 02.ACTING AS A SUB BROKER

The CLIENT agrees that he will not act as a Sub Broker without prior written permission of the MEMBER and without obtaining the registration certificate from SEBI.

## 03.BANK & DEPOSITORY ACCOUNTS

To facilitate easy and timely transfer of funds, to and from the CLIENT, the CLIENT agrees to open a savings / Current bank account with a bank specified by the MEMBER. The CLIENT's account has to be operative prior to his placing the first order with the MEMBER. To facilitate easy and timely transfer of securities and to meet the margin requirements of the MEMBER, the CLIENT agrees to maintain his Beneficial Owner's account with the Depository Participant, KJMC CAPITAL MARKET SERVICES LIMITED bearing SEBI Registration No. IN-DP-CDSL-462-2008. The CLIENT authorizes the Member to debit depository services charges associated with its Beneficial Owner's Account to its trading account with the MEMBER.

## 04. MARK TO MARKET MARGIN IN DERIVATIVES

The CLIENT accepts to the MEMBER raising bills on daily basis for Derivatives contracts. The CLIENT also agrees to pay an upfront margin to cover the daily margins. If at any time, the cumulative Mark to Market Margin (MTM) in the CLIENT's account falls short of the margin required in the CLIENT's account, the CLIENT agrees to heed to MEMBER's additional margin calls. As the upfront margin calls are purely for operational convenience, the CLIENT will ensure that margins are adequate at all times and will immediately make good any shortfall that the MEMBER may communicate.

## 05. PAYMENT THROUGH CHEQUE/ELECTRONIC FUNDS TRANSFER/RTGS

CLIENTS herby confirm to make payments for purchase and clear all debits before pay-in. In case MEMBER does not receive funds before due date (i.e pay-in date) MEMBER will have all rights to sell the shares without any further intimation to CLIENT by T+5 day. The cost and consequences of such

8/18

action shall be entirely CLIENT's responsibility and shall be without any prejudice to MEMBER's rights to take any other action to recover the dues. In case of shares purchased being sold the next day or later on the same exchange or any other exchange it is hereby confirmed that CLIENT will make the payments first and then receive the payments on payout of the sale transactions.

In case where the payment by the CLIENT towards the margin is made through a cheque issued in favour of the MEMBER, any trade(s) will be executed by the MEMBER only upon the realization of the funds of the said cheque or at the discretion of the MEMBER.

The CLIENT agrees to make and / or receive payments through Electronic Funds Transfer / RTGS.

**06. MARGIN IN FORM OF SECURITIES**

The CLIENT may place margin with the MEMBER in the form of securities as approved by the MEMBER. Such securities may, at the discretion of the MEMBER, be marked as lien in favor of the MEMBER from the depository account of the CLIENT or such securities may be placed in a separate depository account of the MEMBER to be earmarked as margin from the CLIENT

The CLIENT agrees and authorizes the MEMBER to determine the market value of the securities placed as margin after applying a haircut as prescribed by the Exchanges. The CLIENT's positions are valued at the latest market price available(marked to market) on a continuous basis by the MEMBER. The CLIENT undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the margins, the CLIENT agrees to replenish any shortfall in the value of the Margins immediately.

**07. TYPE OF MARGIN**

The MEMBER may at its sole discretion prescribe the payment of Margin in the form of funds instead of securities. The CLIENT agrees to comply with the MEMBER's requirement of payment of margin in the form of funds immediately, failing which, the MEMBER may sell, dispose, transfer or deal in any other approved manner the securities already placed with it as margin or square off all or some of the positions of the CLIENT as it deems fit in its discretion without further reference to the CLIENT and any resultant or associated trade related losses that may occur due to such square off/ sale shall be borne by the CLIENT and the MEMBER is hereby fully indemnified and held harmless by the CLIENT in this behalf.

**08. SHORTFALL IN MARGINS**

If payment/ securities towards the margin or shortfall in margin is not received instantaneously to enable restoration of sufficient margin in the CLIENT's account, all or some of the positions of the CLIENT as well as the securities placed as margin may be liquidated by the MEMBER at its sole discretion without further reference or prior notice to the CLIENT. The resultant or associated trade related losses that may occur due to such square off/sale shall be borne by the CLIENT and the MEMBER is herby fully indemnified and held harmless by the CLIENT in this behalf. Such liquidation /close out of positions will be applicable to any segment in which the CLIENT does business with the MEMBER.

The CLIENT is responsible for all orders executed, including those orders that may have been executed without availability of the required margin, in the CLIENT's account. If the CLIENT's order has been executed despite a shortfall in the available margin the CLIENT shall, on the MEMBER intimation of such shortfall, make good such shortfall, either through delivery of shares in the event of sale or credit the required funds in the bank account via wire or personal cheque, banker's cheque or money order or account transfer, demand draft or any other mode.

Any reference in these terms to sale or transfer of securities by the MEMBER shall be deemed to include sale of the securities, which form part of the margin maintained by the CLIENT with the MEMBER. In exercise of the MEMBER's right to sell securities under the mandatory and voluntary Client Registration Documents, the CLIENT agrees that the choice of specific securities to be sold shall be solely at the MEMBER's discretion.

Any amendment in the percentage of margins as required to be maintained under this mandatory and voluntary Client Registration Documents, shall be intimated by the MEMBER to the CLIENT over telephone or in writing. The CLIENT is required to make good the shortfall in such margins, if any, on demand of the same by the MEMBER.

**09. INVESTMENT ADVICE**

KJMC Capital Market Services Ltd Group does not intend to give investment advice and the CLIENT acknowledges that KJMC Capital Market Services Ltd Group shall not be liable to provide to the CLIENT any tax, legal or investment advice of any kind or any advice or option with respect to the nature, potential value or suitability of any particular securities trade, transaction , investment or investment strategy. The CLIENT understands and agrees that in the event the CLIENT receives or accesses any investment research reports or any investment recommendations or advice from KJMC Capital Market Services Ltd Group and / or any Business Associates (or any employee or official of KJMC Capital Market Services Ltd. ) or on KJMC Capital Market Services Group Web Site or that of any Business Associates, or through SMS or through internet messengers etc., the same is on a no liability, no guarantee, no solicitation and no obligation basis and any decision, action or omission thereon by the CLIENT shall be entirely at the CLIENT's risk and should be based solely on the CLIENT's own verification of all the relevant facts, financial and circumstantial, a proper evaluation thereof and KJMC Capital Market Services Ltd. Shall not be responsible or liable for the same for any reason whatsoever.

The CLIENT also acknowledges that KJMC Capital Market Services Ltd Group employees, Business Associates and / or any employee of any Business Associate are not authorized to give such advice and that the CLIENT will not solicit or rely upon any such advice from KJMC Capital Market Services Ltd Group, Business Associate and / or any of the employees of KJMC Capital Market Services Group and / or a Business Associates.

The CLIENT agrees that in the event of KJMC Capital Market Services Ltd. Or any employee or official of KJMC Capital Market Services Ltd. , any Business Associate and / or any employee of any Business Associate providing any information, recommendation or advice to the CLIENT, the CLIENT may act upon the same at the sole risk and cost of the CLIENT, and KJMC Capital Market Services Ltd Group shall not be liable or responsible for the same.

**(VOLUNTARY CLAUSES)**

## 10. PURCHASE / SALE OF SHARES / SECURITIES

CLIENT will not sell any securities until he has confirmed clear balances of holding of the same in his Demat account. Further in case CLIENT buys securities in one Exchange and sells the same on another Exchange on payout, CLIENT authorizes MEMBER to meet Payin/ Payout obligations arising at NSE and BSE without transferring the same to CLIENTS' demat account as and when such inter exchange obligations arise in the securities traded by CLIENT across Exchange with KJMC Capital Market Services Ltd. If CLIENT buys securities and sells the same before having received them in his Demat account, CLIENT hereby confirms that he will be fully responsible in the event of any auctions happening of his sale obligation, due to the deliveries having been received short from the purchasing exchange and /or due to the operational/ procedural delays for inter depository and inter settlement transactions and time taken by depositories to execute the same and /or for any other reason whatsoever. Also , all such consequences , actions penalties or any other financial loss or charges will be purely and entirely on CLIENT's account and MEMBER will in no way be responsible and /or liable for the same.

## 11. CANCELLATION OF TRADES

The Exchange may cancel a trade suo-moto without giving any reason thereof. There may be insufficient bids or offers or suspension of trading due to price limits or circuit breakers. The electronic trading systems either at the Exchange or in the MEMBER's office are vulnerable to temporary disruption or failures. In the event of trade cancellation due to such events or vulnerabilities, MEMBER shall be entitled to cancel, related contract(s) with the CLIENT. At times, due to such unforeseen circumstances the MEMBER may not be able to execute the desired transactions (either the CLIENT's own transactions or transactions for enforcing margins as provided in this mandatory and voluntary Client Registration Documents) on a timely basis. The MEMBER does not accept responsibility for any losses that the CLIENT may incur on such eventualities and the MEMBER will not be held responsible for any loss to CLIENT from executed/ unexecuted orders or trades due to technical failure / Exchange logout/ natural calamities /theft or any other reason, which may or may not be beyond the control of the MEMBER.

## 12. SHORTAGES

In case of purchases of securities by the CLIENT, at times the MEMBER may be unable to deliver the securities to the said purchaser on the pay-out date due non-receipt of the securities from the Exchange or in case of non-receipt of the said securities from another CLIENT of the MEMBER who has sold the securities against the said purchase transaction. In cases of such short delivery, the purchasers account will be credited at the rate at which Auction takes place on the Respective Stock Exchange

## 13. ORDER / TRADE SLIPS / CONTRACT NOTES

The MEMBER may accept verbal order instructions from the CLIENT including instructions for modification or cancellation of trade orders entered in the trading system. The MEMBER may at its discretion require the CLIENT to provide the above instructions in writing. The CLIENT agrees that the MEMBER will not provide any order confirmation/ modification / cancellation slips or trade confirmation slips or copies thereof as these will only increases paper work. The CLIENT accepts that contract notes will suffice its documentary requirements.

Contract notes and other documents so accepted by CLIENT or his representative shall be as per applicable, rules and regulations of SEBI / Exchange either from MEMBER's office or delivered by MEMBER to CLIENT's representative shall be as per applicable, rules and regulations of SEBI / Exchange will be deemed to have been directly accepted by CLIENT himself and CLIENT take full responsibility for the contents of the same unless otherwise intimated by CLIENT preferably within 24 hours of issue of such contract notes by MEMBER. Further CLIENT also authorize MEMBER to send contract notes/ bills/ shares/account statements etc through courier. In such case the courier receipt of the same should be treated as confirmation of receipt of such contract.

**14. DP CHARGES AND EXCHANGE OF INFORMATION**

CLIENT agrees that whatever charges debited by DP toward his demat account can be debited /charged in his running trading account maintained with the MEMBER.

Further CLIENT agrees and authorizes the MEMBER as well as the DP to inter exchange the CLIENT's information for smooth conduct of the business.

**15.TAPE RECORDING OF CONVERSATION**

The CLENT is aware that the MEMBER tape records the conversations between the CLIENT and the MEMBER, either personally or over the telephone, and hereby specifically permits the MEMBER to do so. The MEMBER may rely upon such recordings as and when required to resolve disputes in connection with the trading transactions.

**16. INDEMNIFICATION**

The CLIENT shall indemnify and keep indemnified the MEMBER harmless from and against trade related claims, demands, actions, proceedings, loss, damages liabilities, charges and / or expenses that are occasioned or may be occasioned to the MEMBER directly or indirectly, owing to bad delivery/ fake / forged/ stolen shares/ securities/ transfer document that are or may be introduced by or through the CLIENT during the course of its dealings/ operations on the Exchange. The CLIENT confirms having read and understood RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB BROKERS AND CLIENTS as prescribed by SEBI and Stock Exchanges and agrees to be bound by them including those excluding /limiting the MEMBER's and Exchanges liabilities.

The CLIENT shall not, while acting alone or in concert with others, directly or indirectly, hold or control excess number of permitted securities/ contracts as fixed from time to time by the Exchange/ SEBI without complying with the necessary guidelines. The CLIENT indemnifies the MEMBER against all liabilities arising from violation of such guidelines.

**17. OTHER EXPENSES AND CHARGES**

CLIENT further authorizes MEMBER to directly debit his account with any trade related charges incurred or defined by MEMBER such as depository or bank charges, SMS charges, client registration charges, courier charges, penalties and fines and application form with respect to trading accounts delayed payment charges etc including those incidental to the margin accounts maintained by CLIENT.

**18. STATUTORY RULES & REGULATIONS**

The MEMBER is under no obligation to inform the CLIENT of changes in these rules, regulations, guidelines or circulars.

**19. AMENDMENT**

The MEMBER may from time to time amend this mandatory and voluntary Client Registration Documents for complying with any change in its corporate policies. The changes if any will be with the consent of the client by serving 15 days advance notice However, the CLIENT has the right to terminate the mandatory and voluntary Client Registration Documents through communication in writing subject to meeting its financial and other obligations.

**20. FORCE MAJEURE**

The MEMBER shall not be responsible for any trade related losses, costs or damages resulting directly or indirectly from any action, omission, suspension of trading, decision or ruling of any exchange / regulator / government / other body corporate/any other person which is beyond the MEMBER’s control OR any war / strike / lockout / national disaster / act of terrorism / delay in postal services / any other delay / inaccuracy in the transmission of orders/ other information or any breakdown / failure / malfunctioning beyond the control of the MEMBER of any telecommunication or computer system.

The above Force Majeure events do not exempt the CLIENT to fulfill the obligations in its account with the MEMBER.

**21. ASSIGNMENT**

Either party to this mandatory and voluntary Client Registration Documents shall not assign or transfer all or any of its rights or obligations hereunder without the prior consent of the other party.

**22.PROPRIETORY TRADING**

Clients are hereby informed that Member does proprietory Trading (Purchase and Sale of Shares in Own account)

**23. SEVERANCES**

In case of any one or more of the provisions contained in this mandatory and voluntary Client Registration Documents becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

**24. TRADE AND / OR OTHER SMS**

The client hereby agrees to accept his trade summary/ confirmation or other communication including research / trading call via SMS on his mobile number.

**25.NOTICE**

All notices or communications issued under this mandatory and voluntary Client Registration Documents shall be served in any one or more of the following ways under (a) to (k) below and such notice or communication shall be served at the ordinary business address and / or ordinary place of residence and/ or last known address of the party: (a) by post ;(b) by registered post; (c) by express delivery post; (d) by affixing it on the door at the last known business / residential address; (e) by oral communication to the party or on the last known telephone number or on the recording machine of such number; (f) by advertising it in atleast one prominent daily newspaper having circulation in the area where the last known business / residential address of the respondent is situated; (g) by sending a message through the trading system; (h) by a notice posted on the notice board of the Exchange if no address is known; (i) by electronic mail or fax; (j) by hand delivery;(k) by courier

Any communication sent by the MEMBER which does not require clients consent to the CLIENT shall be deemed to have been properly delivered or served, even if such communication is returned to the MEMBER as unclaimed / refused/ undelivered, if the same is sent to the ordinary business address and or residential address or last known address of the party in any one or more ways mentioned above.

**26. DISPUTE RESOLULTION/ LAW AND JURISIDCTION**

Any claim, dispute, difference arising between the Parties hereto in respect of this Mandatory and voluntary Client Registration Documents or any contract, trades, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Mandatory and voluntary Client Registration Documents or the interpretation or construction of this Mandatory and voluntary Client Registration Documents shall be subject to the
grievance redressal procedure of the concerned Exchange and shall be subject to the arbitration procedure as prescribed by the Rules, Bye-laws, Regulations of the Exchange and issued there under from time to time. MEMBER and the CLIENT are aware of the provisions of the Bye laws, Rules and Regulations of the concerned Exchange relating to arbitration.

Courts in Mumbai shall have exclusive jurisdiction for the purpose of giving effect to dispute claims resolution if any.

**NOTES**

a) The term 'constituent' shall mean and include a client, a customer or an investor, who deals with trading member of NSE/BSE/MSEI for the purpose of Acquiring and / or selling of securities through the mechanism provided by NSE/BSE/MSEI.
b) The term 'member' shall mean and include a member or a broker or a stockbroker, who has been admitted as such by NSE/BSE/MSEI and who holds registration certificate as a Stock Broker from SEBI.
c) NSE/BSE/MSEI may be substituted with names of the relevant exchanges, wherever applicable.

IN WITNESS THEREOF the parties to the Mandatory and voluntary Client Registration Documents have caused these presents to be executed as of the day and year first above written.

FOR KJMC CAPITAL MARKET SERVICES LTD. SIGNATURE OF THE CLIENT

OFFICIAL'S NAME:____________________ _____ CLIENT NAME:________________

WITNESS :

14/18

**(VOLUNTARY)**

**ANNEXURE – 8**

**CONSENT TO RECEIVE THE CONTRACT NOTE BY E-MAIL**

To, Date: ____________________

M/S KJMC CAPITAL MARKET SERVICES LTD
163, Atlanta, Nariman Point
Mumbai 400021

Sir,

I/We hereby consent to receive the contract note/ trade confirmations of the trade executed by me/us, bills and account statements thereof, ledger confirmation, margin and demat account holding statement, notices, circulars, amendments and such other correspondence or 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, at the primary email ID created for this purpose or to my/our below mentioned primary and alternative email ID (said email ids):

Primary Email ID: ____________________________________________________

Alternate Email ID: __________________________________________________

15/18

I/We further hereby agree that the member shall fulfill the legal obligation, if the above documents are sent electronically to any one of the said e-mail Ids. I/We undertake to check the contract notes and bring the discrepancies to your notice preferably within 24 hours of the receipt of the Electronic Contract Note (ECN). My/Our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time. I/We agree that the member will not be responsible for non receipt of documents sent via electronic delivery due to change in email address/correspondence address not communicated to member or the malfunction of my/our computer system/server/internet connection etc. I/We also agree 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. Further non receipt of bounced mail notification by you shall amount to delivery of the said documents at my/our email ID. I / We agree to intimate you of any change in my / our email ID through a physical letter.

My/Our Unique client Code is __________________

Yours faithfully,

Client Signature: 16/18________________________

Client Name: ____________________________________

**(VOLUNTARY)**

**ANNEXURE - 9**

STANDING INSTRUCTIONS / AUTHORISATION LETTER

From : ________________________ Date : __________________

________________________

________________________

To,
KJMC CAPITAL MARKET SERVICES LIMITED
163, Atlanta, Nariman Point,
Mumbai 400 021.

Sub.: Standing Instructions / Authorisation Letter

Dear Sir,

I / We have been / shall be dealing through you as my / our broker on the Capital Market and / or Derivatives Segment. 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. Please treat these instructions as written ratification of my / our verbal directions / authorizations given and carried out by you earlier.

1) I am / we are aware that you are required to issue payment due to me / us as per the pay out from the Exchange. In order to facilitate operations I / We hereby authorize you to maintain a running account with you, to debit my / our running account for the margin / funds payable by me / us ; to include any / all the pay out of funds towards margin / security and /or towards pay in obligations and / or towards funds payable by me / us, without any specific authorization on payout to payout basis and to release the funds (if any) due to me on my / our specific request only. I / We also agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such funds under this mandatory and voluntary Client Registration Documents or otherwise. I / We agree and authorize the broker to settle the funds atleast once in calendar **Month/Quarter. (Select the preferred option)**

2) I am / we are aware that you are required to transfer securities due to me / us as per the payout from the exchange. In order to facilitate operations I / we hereby authorize you to retain / hold the said securities with you in your Client Beneficiary Account for the margins / security deposit payable by me / us, without any specific authorization on payout to payout basis and to release the securities (if any) due to me on my / our specific request only. I / we also agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities under this mandatory and voluntary Client Registration Documents or otherwise. I /We agree and authorize the broker to settle the securities at least once in a calendar **Month/Quarter. (Select the preferred option)**

3) Deposit my / our securities and / or funds whether deposited as collateral / margin or permitted by us to be retained in the running account etc. by you to the Exchange (s) / Clearing Corporation / Clearing House towards Margin / securities pay in obligations / auctions or assignment of contracts or any other trade related liability arising out of my / our dealings with you / through you. I / we authorize you to do all such acts, deeds and things as may be necessary and expedient for placing such securities with the Exchanges as margin. You are further authorised to sell / liquidate these securities at the time and manner of your choice, as and when deemed fit by you in your absolute discretion to meet any shortfall in my / our margin / settlement obligation.

**(VOLUNTARY)**

4) All securities in the depository account opened (if any) with KJMC Capital Market Services Ltd.(the Member and Depository Participant) shall be subject to lien for the discharge of any or all payments due to you from me /us or any other trade related obligations to you and may be held by you as a security against default by me /us in respect of the services availed by me /us from you. The enforcement of the said lien shall be at your sole and complete discretion.

5) I/ We hereby authorize you to set off a part or whole of the margin (i.e by the way of appropriation of the relevant amount of funds or by sale or transfer of all or some of the securities which form part of the margin), against any of my/ our trade related dues in the event of my/our failure to meet the obligations under these terms.

6) I/ we hereby agree that any amount which are overdue from me/us towards meeting obligation to you will be charged delayed or late payment charges not exceeding 2% p.m. or as may be agreed upon by us.

7) I / we hereby authorize you to debit charges for Depository Services, or other services, to my / our trading account as specified in the tariff sheet.

8) I / we hereby authorize you to liquidate / close out all or any of my / our positions for non-payment of margins or other trade related account, trade related outstanding debits etc. I /we agree to bear any and all trade related losses and financial charges on account of such liquidation / close-out.

9) I / We agree that you may refuse to execute any particular transaction after assigning any reason thereof.

Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I / We agree to indemnify you and keep you indemnified against all trade related losses, damages and actions which you may suffer or face as a consequence of adhering to any carrying out my / our directions given above. I / We also understand the above authorizations can be revoked by me /us any time and the broker shall act upon it on receipt of such request in writing at its Head / Registered office.

Thanking you.

Yours truly,

18/18__________________

(Signature) Client Name :______________________________