

Form No :

J. L. SHAH SECURITIES PVT. LTD.

MEMBER OF BSE, NSE & CDSL

CIN No. U67120MH1997PTC109555

Registered Office : 510, Hubtown Solaris, N.S. Phadke Marg,
Near East West Flyover, Andheri (E), Mumbai 400 069

Tel.: 022-66807575, Fax. 022-66807558

E-mail : query@jlshah.co.inWebsite : <http://www.jlshah.co.in>

CDSL : SEBI Registration No. INZ000199739
: SEBI Registration No. IN - DP - 655-2021



EMPOWERING INVESTORS
A SEBI Initiative



Combined Account Opening Form

Unique Client Code :

BO ID NO.

1	2	0	5	6	2	0	0								
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Name (1) : _____

Name (2) : _____

Name (3) : _____

Guidance for Applications for account opening

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
2. Signature should be preferably in **blackink**.
3. Details of the Names, Address and Tel. No. etc. of the Magistrate / Notary Public / Special Executive Officers are to be provided in case of any attestation done by them.
4. In case of additional signature (For accounts other than individuals), separate annexure should be attached to the application form.
5. In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarized copy thereof must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first/ sole applicant.
7. All holders of the account will sign all the depository instructions / correspondence given to us in future.
8. Where the holder is minor, person lawfully entitled to act on behalf of the minor should sign the nomination.
9. Any extra / additional information must be provided in writing along with the application form.
10. Please note that incomplete applications will not be accepted.
11. Kindly strike off whichever is not applicable.
12. Suffix Refers to Mr. XJunior or Mr. XSenior or Lorry or Lord YII etc .

ADDITIONAL DOCUMENTS REQUIRED FOR THE FOLLOWING CATEGORIES

Sr. No.	Category	Description
1.	NRI with Repatriation benefits	1. RBI approval for acquiring shares/ securities 2. Bank Mandate
2.	NRI without Repatriation benefits	1. Letter of undertaking not to remit money abroad 2. Bank mandate, if address given is a foreign address
3.	Minor	1. Guardian's Name 2. Proof of Guardian's relationship to the minor 3. Birth Certificate of the minor 4. Guardian will sign across the Photograph of Minor.
4.	Foreign National	1. RBI approval for acquiring shares & securities 2. Bank Mandate.
5.	Individual who have given POA	In case the client wishes to or has granted power of attorney, certified copy of power of attorney should be provided along with the proof of identity and address of the person to whom power of attorney has been granted.

ACCOUNT OPENING KIT INDEX

MANDATORY DOCUMENT AS PRESCRIBED BY SEBI & EXCHANGES

1a	KYC & CKYC (1st Holder)	1-2
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J. L. SHAH SECURITIES PVT. LTD.

CDSL

: SEBI Registration No. INZ000199739
: SEBI Registration No. IN - DP - 655-2021

Registered office address : 510, Hubtown Solaris, N.S. Phadke Marg, Near East West Flyover,
Andheri (E), Mumbai 400 069. Tel.: 022-66807575, Fax. 022-66807558
Email : query@jlshah.co.in, Web : <http://www.jlshah.co.in>

Correspondence office address : 510, Hubtown Solaris, N.S. Phadke Marg, Near East West Flyover,
Andheri (E), Mumbai 400 069. Tel.: 022-66807575, Fax. 022-66807558
Email : query@jlshah.co.in, Web : <http://www.jlshah.co.in>

Compliance Officer : Mr. Samir N. Shah Phone No. 022-66807562 email id : samir@jlshah.co.in
CEO : Mr. Hemant J. Shah, Phone NO. 022-66807555 & email id : hemant@jlshah.co.in

For any grievance / dispute please contact J. L. Shah Securities Pvt. Ltd. at the above address or email id -
BSE : bsecomplaint@jlshah.co.in
NSE : nsecomplaint@jlshah.co.in
CDSL : cdslcomplaint@jlshah.co.in
Phone : 022-66807562

In case not satisfied with the response, please contact

NSE

Email : ignse@nse.co.in
Tel.: (022) 2659 8100
Tel.: 1800220058

BSE

Email : is@bseindia.com
Tel.: (022) 2272 8097
Tel.: (022) 2272 8016 / 8282

SEBI Scores

Website: <https://scores.gov.in>
Tel.: 1800 22 7575

CDSL

Email : complaints@cdslindia.co.in
Tel.: (022) 22723333



J. L. SHAH SECURITIES PVT. LTD.

(First Holder)

KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL

MANDATORY

For office use only

Application Type* ☐ New ☐ Update



(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

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
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	<div>PHOTO</div>
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		
Citizenship*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> NRI	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin
Occupation Type*	<input type="checkbox"/> S-Service	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector
	<input type="checkbox"/> O-Others	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed
	<input type="checkbox"/> Student	<input type="checkbox"/> Housewife		

Signature/Thumb Impression

☐ 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) (any one of the following OVDs)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- Driving Licence	<input type="text"/>	Expiry Date	<input type="text"/>
<input type="checkbox"/> D- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> E- National Population Register Letter	<input type="text"/>		
<input type="checkbox"/> F- Proof of Possession of Aadhaar	<input type="text"/>		
<input type="checkbox"/> E- KYC Authentication	<input type="text"/>		
<input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>		

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
PIN/Post Code*	<input type="text"/>
City/Town/Village*	<input type="text"/>
State /U. T. Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Regd. Office ☐ Unspecified

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

☐ A- Passport Number

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

 Expiry Date

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

[illegible]☐ C- Driving Licence Expiry Date☐ D- NREGA Job Card☐ E- National Population Register Letter

☐ F- Proof of Possession of Aadhaar X X X X X X X X

II	<input type="checkbox"/> E- KYC Authentication	X X X X X X X X X		
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III	<input type="checkbox"/> Offline verification of Aadhaar	X X X X X X X X
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IV ☐ Deemed proof of Address - Document Type code

Line 1*

Line 2

[illegible]

District*						PIN/Post Code*					State /U. T. Code*		ISO 3166 Country Code*	
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Tel. (Off) [] [] - [] [] [] [] Tel. (Res) [] [] - [] [] [] [] Mobile [] [] - [] [] [] []

[illegible][illegible]

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for the same.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other intermediaries with whom I have a business relationship for KYC purposes only.

Date: DD - DD - YYYY Place:

Signature / Thumb Impression of Applicant

Documents Received ☐ Certified Copies ☐ E-KYC data received from UDAI ☐ Data received from Offline verification
☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC ☐ IPV Done

Post Code :

IPV Done ☐ on 10/10/2010 10:10:10 AM

IVP / KYC VERIFICATION CARRIED OUT BY

INTERMEDIARY DETAILS

Date:

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Name **J. L. SHAH SECURITIES PVT. LTD.**

[illegible]Code [illegible][illegible]

Emp. Branch: _____

[Employee Signature]

[Institution Stamp]



J. L. SHAH SECURITIES PVT. LTD.

(Second Holder)

KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL

MANDATORY

For office use only

Application Type* ☐ New ☐ Update



(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

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
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		
Citizenship*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> NRI	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin
Occupation Type*	<input type="checkbox"/> S-Service	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector
	<input type="checkbox"/> O-Others	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed
	<input type="checkbox"/> Student	<input type="checkbox"/> Housewife		

PHOTO

Signature/Thumb Impression

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

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

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- Driving Licence	<input type="text"/>	Expiry Date	<input type="text"/>
<input type="checkbox"/> D- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> E- National Population Register Letter	<input type="text"/>		
<input type="checkbox"/> F- Proof of Possession of Aadhaar	<input type="text"/>		
<input type="checkbox"/> E- KYC Authentication	<input type="text"/>		
<input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>		

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
PIN/Post Code*	<input type="text"/>
City/Town/Village*	<input type="text"/>
State /U. T. Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Regd. Office ☐ Unspecified

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)

1 (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

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

 Expiry Date

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

[illegible]

☐ C- Driving Licence

 Expiry Date

☐ D- NREGA Job Card

[illegible]

☐ F- Proof of Possession of Aadhaar X X X X X X X X

[illegible]

III	<input type="checkbox"/> Offline verification of Aadhaar	X X X X X X X X		
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IV ☐ Deemed proof of Address - Document Type code

Address _____

[illegible]

Line 2

[illegible]

District*	PIN/Post Code*	State / U. T. Code*	ISO 3166 Country Code*
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☐ 4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction C at the end)

Tel. (Off)			-							Tel. (Res)			-							Mobile			-						
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[illegible]

5. REMARKS (If any)

[illegible]

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. 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 hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: DD - DD - YY YY Place:

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UDAl ☐ Data received from Offline verification

☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC ☐ IPV DonePos Code: IPV Done ☐ on / / IPV Done ☐ on / /

KYC VERIFICATION CARRIED OUT BY

INSTITUTION DETAILS

Date:

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

Name **J. L. SHAH SECURITIES PVT. LTD.**

[illegible]Code [illegible]

Emp. Designation:

Emp. Branch:

[Employee Signature]

[Institution Stamp]

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list 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 addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

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

C. Proof of Address (POA):

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

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

2. EKYC OTP

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

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
Assam	AS	Jharkhand	JH	Rajasthan	RJ
Bihar	BR	Karnataka	KA	Sikkim	SK
Chandigarh	CH	Kerala	KL	Tamil Nadu	TN
Chattisgarh	CG	Lakshadweep	LD	Telangana	TS
Dadra & Nagar Haveli and Daman & Diu	DD	Madhya Pradesh	MP	Tripura	TR
Ladakh	LA	Maharashtra	MH	Uttar Pradesh	UP
Delhi	DL	Manipur	MN	Uttarakhand	UA
Goa	GA	Meghalaya	ML	West Bengal	WB
Gujarat	GJ	Mizoram	MZ	Other	XX
Haryana	HR	Nagaland	NL		
		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
Åland 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	EQ	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	Fi	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Australia	AW	France	FR	Marshall Island	MH	Slovakia	SK
Austria	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	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Morocco	MA	Swaziland	SZ
Bermuda	BM	Grenada	GD	Morocco	MA	Sweden	SE
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Switzerland	CH
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Syrian Arab Republic	SY
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Taiwan province of China	TW
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Tajikistan	TJ
Botswana	BW	Guinea	GN	Nepal	NP	Tanzania, United Republic of	TZ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Thailand	TH
Brazil	BR	Guyana	GY	New Caledonia	NC	Timor-Leste	TL
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Togo	TG
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Tokelau	TK
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tonga	TO
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Trinidad and Tobago	TT
Burundi	BI	Hongkong	HK	Niue	NU	Tunisia	TN
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Turkey	TR
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkmenistan	TM
Cameroon	CM	India	IN	Norway	NO	Turks and Caicos Islands	TC
Canada	CA	Indonesia	ID	Oman	OM	Tuvalu	TV
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Uganda	UG
Central African Republic	CF	Iraq	IQ	Palau	PW	Ukraine	UA
Chad	TD	Ireland	IE	Palestine, State of	PS	United Arab Emirates	AE
Chile	CL	Isle of Man	IM	Panama	PA	United Kingdom	GB
China	CN	Israel	IL	Papua New Guinea	PG	United States	US
Christmas Island	CK	Italy	IT	Paraguay	PY	United States Minor Outlying Islands	UM
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	Uruguay	UY
Columbia	CO	Japan	JP	Philippines	PH	Uzbekistan	UZ
Comoros	KM	Jersey	JE	Pitcairn	PN	Vanuatu	VU
Congo	CG	Jordan	JO	Poland	PL	Venezuela, Bolivarian Republic of	VE
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Viet Nam	VN
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Virgin Islands, British	VG
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Island, U.S.	VI
Cote d'Ivoire (Côte d'Ivoire)	CI	Korea, Democratic People's Republic of	KP	Reunion (Reunion)	RE		
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curaçao (Curacao)	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Laos People's Democratic Republic	LA	Saint Barthélemy (Saint-Barthélemy)	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
				Saint Kitts and Nevis	KN		
				Saint Lucia	LC		
				Saint Martin (French Part)	MF		

I/We request you to open the following account(s) in my/our name as per the following details.
(Please tick only one of the following options)

☐ Trading Account and CDSL Demat Account ☐ CDSL Demat Account only ☐ Trading Account only

Type of Demat Account	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non-Repatriable	<input type="checkbox"/> Margin	<input type="checkbox"/> Promoter	<input type="checkbox"/> HUF	<input type="checkbox"/> Others (please specify)....
Type of Trading Account	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non-Repatriable	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Partnership	<input type="checkbox"/> HUF	<input type="checkbox"/> Others (please specify)....

SMS Facility (This facility is made mandatory to register Power of Attorney in demat account. Ensure that the mobile number is provided in the KYC Application Form.) ☐ Yes ☐ No

Name				
Name of the First/Sole Holder (demat)				
PAN No.		UID No.		Qualification

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

Gross Annual Income Details (please specify)	Income Range per annum	<input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac	
		<input type="checkbox"/> 10-25 Lac <input type="checkbox"/> More than 25 Lacs	
	Net-worth as on (date)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> ("Net worth should not be older than 1 year")
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional		
	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others		
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)		
Any Other Information:			

[illegible]

Name of the Third Holder (demat)	
PAN No.	

Name (Mr./Ms.)	PAN																								
	Provide a copy of the PAN card and original for verification																								
Relationship (If any)											Date of Birth* (of Minor)														
Address (Submit valid Proof of Address)																									
	PIN CODE: <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																								

*Provide attested copy of Birth Certificate.

MANDATORY

E. BANK DETAILS FOR DEMAT ACCOUNT / TRADING ACCOUNT

Bank A/c No.																Bank Sub-type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others			
Bank Name (Full name)																				
Bank Branch Address (Write as per the manner discribed)																PIN CODE:				
9-Digit Code Number of the Bank and branch appearing on the MICR cheque issued by the Bank (Submit Valid Proof)																				
IFSC Number																				
In case of NRIs, RBI Reference No.*											RBI Approval Date	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>								

(1) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 (2) Photocopy of the Bank Statement having name and address of the BO. (3) Photocopy of the passbook having name and address of the BO, (or) / (4) Letter From the Bank
 In case of option (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

*Submit PIS permission copy obtained from bank.

F. MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
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Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be **first holder**.)

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

G. STANDING INSTRUCTIONS FOR DEMAT ACCOUNT

I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (PoA) (If yes, ensure SMS alert facility is opted.)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Download of Email ID to Issuer / R & T Agent	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We authorise you to send all communications/statements through the e-mail only*	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Address for communication/Corporate Benefits	<input type="checkbox"/> Local/Permanent Address <input type="checkbox"/> Correspondence Address/Foreign Address (Default option is Local Address)	

*All communication shall be sent at the email ID/correspondence address of the Sole/First holder only. Please ensure the correctness of e-mail address in the KYC Application Form.

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.

H. DOCUMENTARY EVIDENCE OF FINANCIAL DETAILS FOR DERIVATIVE CLIENTS (For Derivatives Trading)

<input type="checkbox"/> Copy of Tax Return	<input type="checkbox"/> Salary Certificate	<input type="checkbox"/> Net Worth Certificate	<input type="checkbox"/> Bank Statement for the last 6 months	Others, Please Specity
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I. 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

J. DEPOSITORY ACCOUNT DETAILS

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

K. DEALING THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS									
If client is dealing through the Authorised Person, provide the following	Authorised Person's Name								
	NSE AP Registration number								
	BSE AP Registration number								
	Registered Office address								
	Phone			Fax		Website			
Whether dealing with any other stock broker (in case dealing with multiple stock brokers/ Authorised Person)	Name of stock broker						Name of Authorised Person, if any		
	Client Code						Exchange		
	Details of disputes / dues pending from / to such stock broker/Authorised Person								

L. INTRODUCER DETAILS (optional)			
Name of the Introducer	(Surname)	(Name)	(Middle Name)
Status of the Introducer	<input type="checkbox"/> Remiser _____ <input type="checkbox"/> Authorized Person _____		
	<input type="checkbox"/> Existing Client _____ <input type="checkbox"/> Others, please specify _____		
Address of the Introducer			
Phone Number		Signature of the Introducer	

M. ADDITIONAL DETAILS										
Whether you wish to receive Electronic Contract Note or Physical Contract Note (ECN) please specify	<input type="checkbox"/> Electronic Contract Note					<input type="checkbox"/> Physical Contract Note				
Whether you wish to avail of the facility of internet trading/wireless technology (please specify)	<input type="checkbox"/> Yes					<input type="checkbox"/> No				
Number of years of Investment/Trading Experience										
In Case of sole proprietor / partnership, please indicate the name and address of the firm										
SMS and email alerts to investors by stock exchanges. (Please tick whichever is applicable.)	<input type="checkbox"/> SMS					<input type="checkbox"/> Email			<input type="checkbox"/> Both	
If an existing mobile number/email address is used, please specify the relationship and PAN of the email address/mobile number owner	<input type="checkbox"/> Self		<input type="checkbox"/> Spouse		<input type="checkbox"/> Dependent Parent			<input type="checkbox"/> Dependent Child		
	PAN									
Any other information										

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')		<input type="checkbox"/> Yes <input type="checkbox"/> No									
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly										
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be Physical)		<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic									
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.4	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.										
	<input type="checkbox"/> Yes <input type="checkbox"/> No.										
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST										
	<table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)							
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)									
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										

Nomination

Nomination Registration No.	Dated
-----------------------------	-------

- ☐ I/We hereby confirm that I/We **do not wish to appoint any nominee in my 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 demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

Note⁷

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature
(in both the cases i.e. nomination / / opt out nomination -

- ☐ I/We **nominate** the following persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name : *First Name: Middle Name: *Last Name			
*Percentage of allocation of securities <input type="checkbox"/> Equally (If not equally, please specify percentage) Or <input type="checkbox"/> Share of each Nominee	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form			
Nomination Identification Details – [Please tick any one of following and provide details of same]	Nominee 1	Nominee 2	Nominee 3
<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID [Optional Fields]			
*Address:			
*City			
*State			
*Pin			
*Country			

Mobile no/Telephone No. [Optional Fields]			
Email ID: [Optional Fields]			
FAX No. [Optional Fields]			
*Relationship with the BO:			
To be filled only if nominee(s) is a minor:			
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy			
Name of the Guardian of Nominee (if nominee is a minor)			
*First Name:
*Middle Name:
*Last Name
*Address of the guardian of nominee:			
*City			
*State			
*Country			
*PIN			
Age			
Mobile /Telephone no [Optional Fields]			
Email ID: [Optional Fields]			
Fax No. [Optional Fields]			
*Relationship of the Guardian with the Nominee			
Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN Aadhaar Saving Bank account no. Proof of Identity <input type="checkbox"/> Demat Account ID [Optional Fields]			

Note : Residual securities; in case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee :-

*** Marked is Mandatory field**

Note:

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination /negative nomination]

Details of the Witness	
	Witness Details
Name of witness	
Address of witness	
Signature of witness	

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

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

(Signatures should be preferably in blue ink).

===== (Please Tear Here) =====

Acknowledgement Receipt

Application No.:

Date:

We hereby acknowledge the receipt of the Account Opening and nomination Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

Depository Participant Seal and Signature

===== (Please Tear Here) =====

MANDATORY

Address Type (for KYC address)	<input type="checkbox"/> Residential	<input type="checkbox"/> Residential / Business
	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office
Place of Birth		Country of Birth

Is your Country of Tax Residency other than India – ☐ Yes ☐ No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type




S No	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type <i>[TIN or other, please specify]</i>
1			
2			
3			

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

Declaration:




I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/am aware that I may liable for it. I hereby authorize you, to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updated to such information as and when provided by me without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end or by domestic or over as regulators / tax authorities. I/We authorize you to provide relevant information to upstream payors to enable withholding to occur and payout any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

N. TRADING PREFERENCES

Exchanges		Segements
BSE	Cash	 1st Holder Signature
NSE	Cash	 1st Holder Signature
	F & O	 1st Holder Signature

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

O. DEMAT PREFERENCES

Name of Holder(s)		Signature(s)
Sole/First Holder / Guardian (in case of minor) (Mr. / Mrs.)		 1st Holder Signature
Second Holder (Mr. / Mrs.)		 2nd Holder Signature
Third Holder (Mr. / Mrs.)		 3rd Holder Signature

T. DECLARATION

1. The rules and regulations of the Depository and Depository Participants/Capital Market pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or mis representing, I am/we are aware that I/we may be held liable for it. In case of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.
2. I/we understand and acknowledge the fact that I/we am/are at liberty to withdraw all or any of the information provided by me/us and the same shall be made by me/us in writing. I/we confirm and accept that such withdrawal shall entitle you to withdraw all or any of the services provided to me/us under the account opening documentation.
3. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant", client registration form, rights and obligations documents, RDD, Policy & Procedures Tariff sheet, all Non mandatory documents, guidance documents along with the supporting documents.
4. 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.
5. I/We further confirm having read and understood the contents of the "Rights and Obligations of Stock Brokers, Sub-Brokers and Clients" as prescribed by SEBI and Stock Exchanges and the "Risk Disclosure Document for Capital Market and Derivatives Segments". 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 stockbroker's designated website, if any.
6. I/We acknowledge the receipt of copy of the document, "Additional Rights and Obligations for Broking and Other Products and Services." I/We understand and acknowledge that this is voluntary (non-mandatory) document for availing value added products and services as provided by J. L. Shah Sec Pvt. Ltd. and unconditionally agree to abide by the terms and conditions mentioned therein. I agree that I will receive an electronic copy/ physical copy of the said document after I am enrolled as a client of J. L. Shah Sec Pvt. Ltd.
7. I/We also confirm the details submitted by me/us are true, complete and correct to the best of my/our knowledge. In case the changes are not informed I/we will be solely responsible for any loss incurred due to the same.

1st Holder Signature_____
2nd Holder Signature_____
3rd Holder Signature_____
Name_____
Name_____
Name

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list : Copy of ITR Acknowledgment Copy of Annual Accounts

In case of salary income - Salary Slip, Copy of Form 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.

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 of office of the stock broker / Authorise Person of 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 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 receiving Statement of Account in electronic form:

a. Client must ensure the confidentiality of the password of the email account.

b. Client must promptly inform the Participant if the email address has changed.

c. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.

6. To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

FOR OFFICE USE ONLY

UCC Code allotted to the Client		
	Documents verified with Originals	Client Interviewed by
Name of the Employee		
Employee Code		
Designation of the employee		
Date		
Signature		
Place		
<p>I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.</p>		
<p>Authorised Signature</p> <p>Date :</p>		<p>Seal/Stamp of J.L. Shah Securities Pvt. Ltd.</p>

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	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • 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). • Photograph, POI, POA, PAN and DIN numbers of whole time directors / two directors Incharge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army / Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee with resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman / Secretary.

POLICIES & PROCEDURE

In order to ensure proper compliance with various Notices/Circulars/ Guidelines issued by SEBI / Exchanges and uniformity J. L. Shah Securities Pvt. Ltd. has prescribed the Policies & Procedure as under for guidance of all employees in HO / all Branches which is to be strictly followed by all for dealings with clients.

[1] Refusal of orders for penny stocks

J L Shah does not encourage trading in penny stocks or securities falling in T2T or Z group of BSE and NSE. Member reserves its right to refuse orders in such securities from the clients desiring to deal in such shares, stocks, securities. Under exceptional circumstances and considering merits on case to case basis, trading in penny stocks T2T/Z category would be allowed to clients on delivery basis subject to stringent verifications of client holdings, intentions and bonafide reasons given by the intending clients.

There is no formal list of the "Penny Stocks" issued by the Exchanges/SEBI. However there are shares of certain companies which are called/Known as "Penny Stocks" in the Market. These shares may be part of the list of "illiquid stocks" issued by the Exchanges from time to time but not necessarily so in all cases. As dealing in these stocks (in physical form or demat form) is risky. The Company (as a stock broker) may decline to carry out Buy/Sale Order/ s of any client for so called "Penny Stock."

[2] Setting up of Client's Exposure limits

The Company will fix the limit in value for each and every Scrip for which Buy/Sell Order 's of any particular Client will be executed in normal course based on "Income level" for the year confirmed by the Client / AP/ Remiser and other considerations. The Company will not disclose the rational/logic of their decision (about fixation of the monetary limit). However if requested by the Client for any specific transaction/s to be carried out as a special case then it may be considered on merit. The company will set up client's exposure limits on the basis of their respective ledger balance collateral provided, security deposit etc across all the exchange.

[3]Applicable Brokerage Rate

At present SEBI permits maximum brokerage @2.5% of contract price . The Company charge brokerage to their Clients at the rate/s below this maximum limit. Each client will be intimated the rate at which brokerage will be charged to him / her / it. This rate will be revised by the Company based on volume of the Client's business / market conditions / other relevant factors. Any change in the rate of brokerage will be intimated to the Client.

[4] Imposition of Penalty/Delayed Payment Charges to Clients, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws) :

As per regulation the client should pay his pay in obligation of funds on or before one day for the Exchange pay in day. We make the policy of charging penalty /delayed payment charges to discourage client in making late/Delayed payment. Clients will be liable to pay late pay-in/delayed payment charges not exceeding 2% per month for not making payment of their pay-in obligation on time as per the exchange requirement or net ledger debit balance as applicable. The client agrees that J. L. Shah Securities Pvt. Ltd. may impose fines/penalties for any orders / trades/ deals/actions of the client which are contrary to this agreement / rules / regulation / bye laws of the exchange or any other law for the time being in force , at such rates and in such form as it may deem fit. Further where J. L. Shah Securities Pvt. Ltd. has to pay fine or bear any punishment from any authority in connection with/as a consequence of / in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client.

All Clients other than those who have agreed to have a "Running Account" with the Company will have to make payments due to the company on due dates.

X _____
(Client Sign.)

MANDATORY

[5] The right to sell client's securities or close client's position, without giving notice to the client, on account of non payment of client's dues.

J. L. Shah Securities Pvt. Ltd., shall be entitled to liquidate client's unpaid securities, where the margin/security is made available by way of securities or any other property, J. L. Shah Securities Pvt. Ltd. is empowered to decline its acceptance as margin/security and/or accept it as such reduced value as J.L. Shah Securities Pvt. Ltd. may deem fit by applying haircuts or by valuing it by marking it to market. the stock broker has the sole discretion to decide referred stipulated margin percentage depending upon the market conditions. The above action is at the sole discretion of J.L. Shah Securities Pvt. Ltd. and may vary from client to client. It shall not be under any obligations to undertake the exercise compulsorily. J.L. Shah Securities Pvt. Ltd. shall therefore not be under any obligation to compensate or provide reasons of any omission or delay on its part to sell client's securities or close open positions of the client lying client unpaid securities account.

[6] Shortages in obligations arising out of internal netting of trades

J L Shah Securities Pvt. Ltd. shall have the right to adopt a policy of its choice for internal auctions arising out of internal netting of trades and charge to defaulter seller and compensate the impacted purchaser as per the policy. The client has short delivered any securities against his/her/its pay-in – obligation which resulted into internal shortage, i.e. buy position of another client of J L Shah Securities Pvt. Ltd., self-auction as per exchange norms of Internal short scrip will be carried out by J L Shah Securities Pvt. Ltd.

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

It is to be noted that under following circumstances any client will not be allowed to take further position or the Company may close that particular Client's position (i) if the particular Client is a Defaulter of amount due to the Company (ii) Value of the pledge is not sufficient to meet the Losses incurred by the Client and/or Value of pledge is lower than client's ledger debit (iii) If according to the Company Market Conditions has turned or likely to turn unfavourable based on the information available or its view of the matter taken by the Company. (iv) that particular Client is barred from Trading on the Exchange/s by SEBI / Exchange/s. (v) Political/financial instability in the country or otherwise. (vi) Lockdown or restriction of movement by central/state government.

[8] Temporarily suspending or closing a client's account at the client's request

It is to be noted that under following circumstances any particular Client's Account may be Suspended / Closed (i) On receipt of Written Instruction from that particular Client (ii) that particular Client is barred from Trading on the Exchange/s by SEBI / Exchange/s / Depository (iii) The particular Client who has defaulted in making payment on due date to the Company (iv) on receipt of any adverse information by the Company about the particular Client.

[9] De-Registering a client.

It is to be noted that any particular Clients who is/are covered under any of the following category will deregistered at our discretion.

(i) that particular Client/s is/are barred from Trading on the Exchange/s by SEBI / Exchange/s (ii) The particular Client who has defaulted in making payment on due date to the Company (iii) on receipt of any adverse information about the particular Client (iv) The Client NOT trading through the Company continuously for more than 12 months (v) The death of the client.

[10] Treatment of Inactive Accounts

Client account will be considered as inactive if the client has not done any transaction with the member in the last 12 (Twelve) Months. Further, a client may also write to the member stating that he / she wishes to transfer his account into an "inactive" status, based on which the account will be marked as such. On a client being declared inactive, the account of the client shall be made inactive in the back office software as well as the exchange and the client shall not be permitted to execute a fresh transaction in the account.

Further, the request to reactivate shall be processed only after the client provides decent proofs as required for opening the account as per SEBI norms.

In case a client is requesting for reactivation after a period of 1 year of being flagged as inactive i.e. after 2 years from their last trading date we will undertake fresh documentation, due diligence and IPV.

I/We have read, understood the above and state that I will strictly abide by the condition laid in this policy.

Signature of the Client X _____

1st Holder Signature

J. L. SHAH SECURITIES PVT. LTD.

Annexure 2.4

Terms and Conditions- Cum- Registration / Modification Form for receiving SMS Alerts from CDSL (SMS Alerts will be sent by CDSL to Bos for all debits)

Definitions:

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

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

Availability:

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

Receiving Alerts:

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

X _____
Sole / First Holder
Signature

X _____
Second Holder
Signature

X _____
Third Holder
Signature

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing law and Jurisdiction:

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

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

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

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

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

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

BOID	1	2	0	5	6	2	0	0									
	(Please write your 8 digit DP ID)								(Please write your 8 digit Client ID)								

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which
message are to be sent

+91													
-----	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of _____

Email ID _____
(Please write only ONE valid email ID on which communication, if any, is to be sent)

X _____

Sole / First Holder
Signature

X _____

Second Holder
Signature

X _____

Third Holder
Signature

Place :

Date :

TARIFF SHEET

CASH SEGMENT

Brokerage Slab	Slab %	Minimum Paise	One Side / Both Side
Delivery Based			
Daily Square up			

DERIVATIVES SEGMENT

Brokerage Slab	Slab %	Minimum Paise / Per Lot	One Side / Both Side
Future			
Option			

- MAXIMUM BROKERAGE - 2.5% of Contract price.
- Brokerage as mutually agreed. This may change from time to time as mutually agreed.
- GST will be charged at actuals as per Central Govt. rates which may be charged time to time
- STT will be charged at actuals as per Central Govt / State Govt. rates which may be changed time to time.
- Stamp Duty will be charged at actuals as per Central Govt / State Govt. rates which may be changed time to time.
- Transaction charges as applicable by the relevant exchange Plus GST on Transaction Charges as applicable.
- SEBI turnover Fees at actuals as per SEBI Rates which may be charge time to time.

Signature of the Client X _____

1st Holder Signature

J. L. SHAH SECURITIES PVT. LTD.

Rate structure for client for the CDSL services offered by J.L.SHAH SECURITIES PVT. LTD.

Charges Head	Charges
Account Opening Charge	Nil
Annual Maintenance Charge:	
- Individual	Rs.350/-
- Corporate	Rs.1000/-
- 10 year scheme only for individuals *	Rs. 1800/-
Custody Charge	Nil
Demat Charge	Rs.10/- Per certificate +Courier Charge of Rs. 60/- per demat request for every 100 gms.
Demat Rejection Charge	Rs.20/- Per certificate +Courier Charge of Rs. 60/- per demat request for every 100 gms.
Rematerialisation Charge	Rs.15/- Per certificate or 100 Shares or Part of its which ever is higher
BO Account Debit Charge: (on market /off market/inter-depository transactions)	Rs. 20/- per Transaction
BO Account Credit Charge: (on market /off market/inter-depository transactions)	Nil
Failed Instruction Charge	Rs. 7/- per Transaction
Pledge Charges (Margin Pledge)	Rs. 8 per script per request
Pledge Closure Charges (Margin Pledge)	Rs. 8 per script per request
Pledge Creation Charge	0.02% of value of shares (Minimum Rs. 25/- per pledge request)
Pledge Cancellation Charge	0.02% of value of shares (Minimum Rs. 25/- per pledge request)
Pledge Invocation Charge	0.02% of value of shares (Minimum Rs. 25/- per pledge request)

*10 year scheme would result in waiver of Annual Maintenance Charge for a period of 10 years valid only for individual clients. However there will not be AMC waiver in case of closure of the account.

PAYMENT OF AMC

AMC will be levied on pro-rata basis for the first financial year. There after AMC shall be levied up-front in April on all accounts outstanding as at the end of March every year. There will be AMC waiver on quarterly pro rata basis i.e. for accounts closed in a particular quarter AMC will be reversed for all the remaining quarters of that financial year.

PAYMENT OF OTHER CHARGES

In addition to the above, the following specific charge will be applicable.

Cheque bouncing charges	Rs. 50/- per cheque bounced.
Delay in payment of monthly bill	Interest @2% per month on the value outstanding on the bill from the due date (which would be one month from the bill date)
Non-payment of bill after the due date For payment	The depository services for the account will be temporary withdrawn. A renewal fee of Rs. 100/- per account will be charged to the client for resuming his/her deposit operations.
Extra statement	Rs. 15/- per statement for the first 10 pages thereafter Rs.2/- per page

Notes :

- Any service not covered above will be charged separately.
- Charges are subject to the company's sole discretion and also due to changes in the tariff rates of CDSL.
- J.L. Shah Securities Pvt. Ltd. reserves the right to change the rates from time to time by giving 30 day's notice.
- All payments to be made in the name of J.L. Shah Securities Pvt. Ltd.
- Cheque/DD payable at the local branch where the account is opened. Outstation Cheques will not be accepted.
- Any penalty charged by CDSL for the late instruction will be charged to the account at 0.05% +CDSL charges.
- GST applicable on all type charges
- For any additional services like modification courier charges will be charged

1st Holder Signature

2nd Holder Signature

3rd Holder Signature

J. L. SHAH SECURITIES PVT. LTD.

Date :

To,

(Client name)

Dear Sir,

Sub.: Disclosure of Proprietary Trading

The securities & exchange board of India (SEBI) vide circular no. SEBI / MRD / SE/ cir -42 / 2003, 19th November 2003, has advised the trading member to inform / disclose to their clients if the are doing cliental business and proprietary trading as well.

Our company is engaged mainly on cliental business. However, we wish to inform you that our company is doing some amount of proprietary trading, which is normal in nature.

You are requested to note the aforesaid disclosure for future dealing with us.

Kindly accept and acknowledge.

Thanking You,

Your Faithfully,

For J.L.SHAH SECURITIES PVT.LTD.

Authorised signature

(X) _____

(The client's signature / authorized signatory)

DEMAT DEBIT & PLEDGE INSTRUCTION POWER OF ATTORNEY

Date: _____

To,

DDPI POA No: _____ (For Office Use Only)

J. L. SHAH SECURITIES PRIVATE LIMITED: 510, Hubtown Solaris, N. S. Phadke Marg, Near East West Flyover, Andheri East, Mumbai 400069. Member of BSE Cash Segment Clg. No. 0336, NSE Cash/F&O Segment Mem. No. 09777 Member of CDSL - SEBI Regn. No. IN-DP-655-2021, BSE Cash, NSE Cash/NSE F&O Derivative Segment SEBI Regn. No. INZ000199739.

By signing on this DDPI POA (POWER OF ATTORNEY) form, I/we give my/our consent to execute e-stamping of this page on behalf of me/us and also agree to pay/debit applicable e-stamping charges in my Demat/Trading Account Ledger.

BOID 1 2 0 5 6 2 0 0 **UCC** _____

1st Holder Name _____

2nd Holder Name _____

3rd Holder Name _____

SMS Alert Facility ☐ YES Mobile No. +91 _____ Refer Terms & Conditions as given in Annexure 2.4

(CDSL) & Exchanges through **J. L. SHAH SECURITIES PRIVATE LIMITED** who is a registered Stock Broker and Depository Participant with Securities and Exchange Board of India (SEBI) vide SEBI Registration No. INZ000199739. I/we am/are appointing **J. L. SHAH SECURITIES PRIVATE LIMITED** as my [our constituted attorney to operate my/our account for below given limited purposes and functions.




Description of Demat Account	Demat Account No.
BSE : CM Principal A/c - CDSL	1205620000001773
BSE : CM Early Pay-In A/c - CDSL	1100001000016588
BSE : CM Pool A/c - NSDL	IN001019 10001074
NSE : CM Pool A/c - CDSL	1205620000001021
NSE : CM Early Pay-In A/c CDSL	1100001100019251

Description of Demat Account	Demat Account No.
NSE : CM Pool A/c - NSDL	IN001019 10008420
NSESLB CM Pool A/C - CDSL	1205620000038571
NSE SLB CM EARLY PAYIN A/C-CDSL	1100002300000562

Account No. / BOID	DP Name	Particulars
1205620000039330	JLS	TM/CM CMPA




(1) DEMAT DEBIT POWER OF ATTORNEY :

Transfer of securities held in the beneficial Owner accounts of the client towards Stock Exchange related deliveries / settlement Obligations arising out of trades executed by Clients on the Stock Exchange through the same stock broker.




1 st Holder/Guardian/Authorized Person Signature	2 nd Holder Signature	3 rd Holder Signature
		

(2) PLEDGE INSTRUCTION POWER OF ATTORNEY :




Pledging / re-pledging of securities in favor of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.

1 st Holder/Guardian/Authorized Person Signature	2 nd Holder Signature	3 rd Holder Signature
		

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

1 st Holder/Guardian/Authorized Person Signature	2 nd Holder Signature	3 rd Holder Signature
		

(4) Tendering shares in open offers through Stock Exchange platforms

1 st Holder/Guardian/Authorized Person Signature	2 nd Holder Signature	3 rd Holder Signature
		

(For Office Use Only)

FOR J. L SHAH SECURITIES PVT. LTD.

Authorized Signatory

FOR AUTHORISED PERSON USE ONLY

Authorized Signatory

J. L. SHAH SECURITIES PVT. LTD.

Dear Sir

Consolidated Letter of Authority

I/We have been regularly trading and investing, or plan to do so, with you at The Stock Exchange Mumbai (BSE) & National Stock Exchange of India Ltd. (BSE Cash / NSE Cash & NSE F&O Segment) to facilitate ease of operations, I/We request and authorize you as under.

1. My/our order for purchase/sale of shares and securities will be given telephonic or orally through my/our visit to your office.
2. I/We hereby authorise you not to provide me/us Order confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary Paperwork. I/We shall get the required details from contract note issued by you.
3. I/We agree to collect the contract notes/bills/account statements and other relevant documents for the deals executed and in case of non-collection, you may dispatch the same through ordinary post, email, courier or through any other mode at the address provided by me/us and it shall be deemed to be effective delivery of the same to me/us.
4. I/We hereby authorise you to undertake any transfer of funds, securities, debits & credits available between various segments of exchanges i.e. BSE capital market NSE capital market and NSE futures & options / derivatives segments.
5. I/We hereby authorize you to maintain my/our account, for funds with you on running account basis and request you to consider the balances in my/our running funds account with you for the purpose of margins / any other obligations due to you. In view of the same it would be proper to release the funds due to me/us on my/our specific request, either written or oral
- 5a. I/We reserve the right to revoke authorization at any time given to you as per paragraph 5 above to maintain Funds on Running Account basis by giving a written request for revocation.
☐ Once in a Calendar Quarter ☐ Once a Calendar Month
6. I/We agree and authorise you to debit charges for depository services and any other incidental charges to my / our BSE / NSE ledger account.
7. I/We hereby authorise you to liquidate / close out / sell all or any of my/our positions of share dealing with you for non-payment of margins or other outstanding debts due to us. I/We agree to bear any and all losses and financial charges on account of such liquidation /close out.
8. I/We agree that you may refuse to execute any particular transaction without assigning any reason therefore.
9. I/We agree not to hold you liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war, Strikes, failure of systems, failure or internet links, Government/ regulator actions or any such other contingencies which may be beyond our control.
10. I/We Authorise J. L. Shah Security Pvt. Ltd. to retain an amount of up to Rs. 1000/- to address the administrative / operational difficulties in setting the account of regular trading clients (active clients)
11. BSE Tech Infra Services Pvt. Ltd shall, in no event be liable to J. L. Shah Securities Pvt. Ltd. (Name of the Customer) _____ (Name of the Customer's Client) _____ or to any third party for any loss, damage, loss of profits or for any other consequential damages, however caused and on any theory of liability".
12. I/We having credit balance and have not done any transaction within the 30 Calendar days Since last transaction the credit balance should be returned to we/us next three working days

Thanking you,
Yours truly

Signature X _____

Client Name: _____

J. L. SHAH SECURITIES PVT. LTD.

Date : _____

Dear Sir,

I/we _____

Have BO A/c No.

1	2	0	5	6	2	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

and Trading code No.

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In reference to my / our dealings with you as your client. We authorise you to send digitally signed contract notes / Bill /Ledger A/c / demat statement / demat holding at my / our following email-id.

In electric form duly authenticates by means of a digital signature as specified in the information technology act 2000 & rules made there under to any of my / our self created email id mentioned below :

Pursuant to amendment in clause 3 of the agreement annexure C to the by laws of (CDSL). I/we confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode. I further hereby consent to the following :

- 1) It is being informed that non-receipt of bounced mail shall amount to deliver of contract notes / documents / demat statement.
- 2) I/we confirm that dispatch of documents to me / us constitute full and absolute discharge of your obligation. I/we confirm that once you send the said documents to my email ID this may treat the same as received by me/us.
- 3) In case of any Query I/we shall intimate you with in reasonable time to your designated email query@jlshah.co.in.
- 4) In case of any changes in my / our said email-id I/we undertake to intimate the same to you in writing.
- 5) Non verification or not accessing the contract notes or account statement on regular basis from my/our part shall not be reason for disputing the contract not at any time.

Email ID 1 _____

1st Holder Signature

2nd Holder Signature

3rd Holder Signature

Name

Name

Name

To,

To,

Date	D	D	M	M	Y	Y	Y	Y
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DP ID									Client ID							
First Holder Name																
Second Holder Name																
Third Holder Name																

To,
J.L. Shah Securities Pvt. Ltd.

Dear Sir / Madam,

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

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening ^{of my / our CDSL} account though I / we have issued a Power of Attorney (POA) / ***registered for eDIS** / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such ***Power of Attorney holder** -Clearing Member / by PMS manager ***for executing delivery instructions through eDIS**.

Yours faithfully

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

OR

OPTION 2:

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

Yours faithfully

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

J.L.SHAH SECURITIES PVT. LTD

Dear Valued Client,

As per the directions of Regulatory Authorities, Depository Participants (DPs) are required to classify client's demat account under two categories - Regular Demat accounts (RSDA) and Basic Service Demat Accounts (BSDA). It is mandatory to bring all accounts with holding value of less than Rs 2 Lakhs under BSDA category, unless the client opts otherwise. .

In this BSDA category, the accounts with holding value below Rs 50,000 shall not attract any Annual Maintenance Charges (AMC) and those account with holding value from Rs. 50,001 to Rs. 2,00,000 will be levied only Rs. 100 as AMC. BSDA accounts will be levied higher applicable AMC Charges on value of holdings exceeding prescribed limits. As and when the value of holdings exceeds the limit of Rs. 2 lakhs, automatically RSDA charges will be applied.

Please find the revised Tariff for BSDA and Regular accounts. **If you wish to continue as a Regular Demat Account Holder (RSDA), you may please sign the option letter given below and return it to us at the earliest.** In case we do not hear from you, your account will be classified as BSDA and the revised tariff will be effective from 1st June 2016. For any clarifications please contact the undersigned on our (022) 6680 7575.

Assuring you of our best services as possible.

Harish Punjani
(022) 6680 7560

Declaration for opting for Regular Services Demat Account (RSDA)

I/We do not wish to opt for Basic Service Demat Account (BSDA). I/We would like to continue to remain as Regular Demat Account Holder (RSDA). I/We have read and understood the terms and conditions.

1	2	0	5	6	2	0	0									
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Signature:

1st Holder

2nd Holder

3rd Holder

Name:

1st Holder

2nd Holder

3rd Holder

Family Declaration - Email/ Mobile Updation in Family Codes

To,

J. L. SHAH SECURITIES PVT. LTD.

510, Hubtown Solaris, N.S. Phadke Marg, Andheri-East, Mumbai - 400069

Dear Sir/Madam,

Date: _____

Subject: Family Declaration for registering common Mobile / Email details

I request you to register the following mobile number and/or email id in my demat and/or trading account(s) to be opened with you.

Mobile No.: _____ Email ID: _____




I and my family members hereby request that mobile number and email id, as mentioned above shall be considered in your records for the purpose of receiving communication from **J. L. Shah Securities Pvt. Ltd.** or Stock Exchanges/ Depositories with regard to trading/demat transactions executed by me/us through **J. L. Shah Securities Pvt. Ltd.**

This facility shall be provided to me/us as an additional, for my/our convenience of receiving transaction details at a single mobile number and e-mail id. I/We understand that this facility is availed only by the family members where "family" means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines).

MOBILE AND EMAIL DECLARATION (MANDATORY)

Client Code	Mobile no.	<input type="checkbox"/> Self	<input type="checkbox"/> Others (Name of person) _____ Relationship with the client <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent
	Email id	<input type="checkbox"/> Self	<input type="checkbox"/> Others (Name of person) _____ Relationship with the client <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent
Client Code	Mobile no.	<input type="checkbox"/> Self	<input type="checkbox"/> Others (Name of person) _____ Relationship with the client <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent
	Email id	<input type="checkbox"/> Self	<input type="checkbox"/> Others (Name of person) _____ Relationship with the client <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent
Client Code	Mobile no.	<input type="checkbox"/> Self	<input type="checkbox"/> Others (Name of person) _____ Relationship with the client <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent
	Email id	<input type="checkbox"/> Self	<input type="checkbox"/> Others (Name of person) _____ Relationship with the client <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parent

Thanking You,

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

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

Authority Letter

Authority to place orders/instructions with **J. L.Shah Securities Pvt. Ltd.** on my behalf.

I hereby authorize the following persons, whose specimen signature is appended hereunder:

- a. To place orders/give instructions to **J. L.Shah Securities Pvt. Ltd.** for buying/selling of securities/contract on the Stock Exchanges.
- b. Sign, execute relevant documents as may be necessary from time to time for the purpose of my broking transaction and acknowledge receipt of documents pertaining to the transactions i.e. Contract Notes, Statement of Accounts w.r.t. Funds, Securities Daily Activity Statement of Funds, Securities Annual Global Statement.

Authorised Person(s) Details

Sr. No.	Name	PAN	Mobile/ Landline No.	Relationship
1.				
2.				

I hereby agree and understand that, J. L.Shah Securities Pvt. Ltd. reserves the right to refuse to execute any instruction given by the Authorised Person, if details of the Authorised Person matches or apparently resembles with the details of the list of debarred entities published by SEBI/Exchanges/any regulatory authority. This authority shall remain in force until otherwise notified by me in writing.

Notes:

1. Clients cannot authorise Relationship Manager/Dealers/Authorised Person/Employee of J.L. Shah Securities Pvt. Ltd. as authorised person.

Name	
Signature	

To,

Client Name : _____

Address

Date

Dear Sir / Madam

Re.: Account Opening

We Welcome you to **J. L. SHAH SECURITIES PVT. LTD.** and thank you for opening / maintaining your account with us for the purpose of dealing in securities.

Trading Code No.

CDSL BO ID NO.

1	2	0	5	6	2	0	0								
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Please acknowledge the enclosed copy of the documents executed by us, as confirmation of the same.

Assuring you of our best attention and services at all times.

Thanking You,

Your's Truly

For M/s. J. L. Shah Securities Pvt. Ltd.

Authorised Signatory

I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant", client registration form, rights and obligations documents, RDD, Policy & Procedures Tariff sheet, all Non mandatory documents, guidance documents along with the supporting documents, Do's & Dont's.

Signature:

1st Holder

2nd Holder

3rd Holder

Name:

1st Holder

2nd Holder

3rd Holder

	Maker	Chequer
Checking	1)	2)
Demat	3)	4)
Tradeplus Tradenet Crossnet	5)	6)
KYC CVL DOTEX NDML OTHER	7)	8) Date: No.: Status:
CKYC	9)	10) Date: No.: Status:
Webex	11)	Success :
Enit	12)	Success :
Broking	13)	NA
Final Checking	14)	NA