

Application No.	W
UCC	
DP Client No.	
Reference No.	
Partner	
Partner Center	
First Holder Name	
Second Holder Name	
Third Holder Name	



**TRADING & DEMAT ACCOUNT OPENING
FORM AND POWER OF ATTORNEY**

INDIVIDUAL

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DETAILS OF THE DEPOSITORY PARTICIPANT AND STOCK BROKER

NJ INDIA INVEST PRIVATE LIMITED

Registered & Correspondence Office Address : Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat Phone: 0261 402 5500 Fax: 0261 402 5880

SEBI Reg No - BSE, NSE & ICEX: INZ000213137, SEBI Reg No - CDSL & NSDL: IN-DP-14-2015

Email id: dpservices@njgroup.in Website: www.njgroup.in

Compliance officer name : Mr. Rakesh P Tokarkar
Phone no. : 0261- 4025901
E-mail id. : compliance@njgroup.in

CEO name : Mr. Niraj R. Choksi
Phone no. : 0261- 4025901
E-mail id. : ceo@njgroup.in

For any grievance/dispute please contact NJ IndiaInvest Private Limited at Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat or email id - dpservices@njgroup.in and Phone no.: 0261-4025500.

In case not satisfied with the response, please contact the concerned exchange(s)

CDSL at complaints@cdslindia.com and Phone no. 022-22723333

NSDL at relations@nsdl.co.in and Phone no. 022-24994200

BSE at is@bseindia.com and Phone no. : 022- 22728097

NSE at ignse@nse.co.in and Phone no.: 022-26598190



ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT

Application No.

W

NJ INDIA INVEST PRIVATE LIMITED

Registered & Correspondence Office Address : Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh
Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat Phone: 0261 402 5500 Fax: 0261 402 5880

This information is the sole property of the trading member/DP/brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients.

(To be filled by DP)

Date: DDMMYY

DP Internal Reference No. _____

DP ID _____ Client ID _____ ☐ CDSL ☐ NSDL

(To be filled by the applicant in BLOCK LETTERS & with BLACK BALL POINT PEN in English)

I/We request you to open a Demat Account in my/our name as per the following details:

Type of Account (Please tick whichever is applicable)

Status	Sub-Status	
Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director
	<input type="checkbox"/> Individual Director's Relative	<input type="checkbox"/> Individual AOP
	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Others(specify) _____
NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI - Non Repatriable
	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable Promoter
	<input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> Others (specify) _____
Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Qualified Foreign Investor
	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify) _____

Holders Details

Sole / First Holder's Name _____

PAN _____ UID _____

Second Holder's Name _____

PAN _____ UID _____

Third Holder's Name _____

PAN _____ UID _____

In case of NRIs/ Foreign Nationals

RBI Approval Reference Number _____

RBI Approval date _____

Details of Guardian (in case the account holder is minor)

Name of the Guardian: _____

Relationship with the applicant: _____ PAN: _____

Name* _____ PAN: _____

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



ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT

Additional Details

I/We instruct the DP to receive each and every credit in my/our account [Automatic Credit] (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly																				
I/We request you to send Electronic Transaction - cum - Holding Statement at the Email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
I/ We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Physical & Electronic																				
I/We wish to receive dividend/ interest directly into 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																				
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
SMS Alert Facility (CDSL) Mobile No. +91 _____ <small>(Refer terms & conditions in the booklet provided)</small> [(Mandatory , if you are giving Power of Attorney (POA)](if POA is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
SMS Alert Facility(NSDL): [Mandatory if you are giving Power of Attorney(PoA). <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width: 10%;">Sr. No.</th> <th style="width: 20%;">Holder</th> <th style="width: 10%;">Yes</th> <th style="width: 10%;">No</th> <th style="width: 50%;">Mobile No.</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td>Sole/First Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td>+91 _____</td> </tr> <tr> <td style="text-align: center;">2</td> <td>Second Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td>+91 _____</td> </tr> <tr> <td style="text-align: center;">3</td> <td>Third Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td>+91 _____</td> </tr> </tbody> </table>		Sr. No.	Holder	Yes	No	Mobile No.	1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____	2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____	3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____
Sr. No.	Holder	Yes	No	Mobile No.																	
1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____																	
2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____																	
3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____																	
Transactions Using Secured Texting Facility (TRUST). <small>(Refer terms & conditions in the booklet provided)</small> 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. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST. Stock Exchange Name/ID _____ Clearing Member Name _____ Clearing Member ID (Optional) _____	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
easi If yes, please contact your DP for details [Facility through CDSL's website: www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
IdeAS If yes, please contact your DP for details [Facility through NSDL's website: https://eservices.nsdl.com/ wherein a BO can view his ISIN balances and value of their demat account online.]	<input type="checkbox"/> Yes <input type="checkbox"/> No																				

ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

I/We request you to open a Trading Account in my/our name as per the following details:

Depository Account Details

Beneficiary Name _____
DP Name N J I n d i a I n v e s t P r i v a t e L i m i t e d
DP Address B l o c k N o 9 0 1 & 9 0 2 6 t h F l o o r B T o w e r U d h n a
U d y o g n a g a r S a n g h C o m m e r c i a l C o m p l e x
C e n t r a l R o a d N o 1 0 U d h n a S u r a t - 3 9 4 2 1 0
DP ID _____ Client ID _____ Depository Name _____

Trading Preferences

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

BSE Segment	Signature	NSE Segment	Signature	ICEX Segment	Signature
Cash	<div>1(a)/17</div>	Cash	<div>2(a)/17</div>	Cash	<div>3(a)/17 N/A</div>
F&O	<div>1(b)/17 N/A</div>	F&O	<div>2(b)/17 N/A</div>	F&O	<div>3(b)/17 N/A</div>
STAR MF	<div>1(c)/17</div>	MFSS	<div>2(c)/17</div>	ICEX MF	<div>3(c)/17</div>
Currency Derivative	<div>1(d)/17 N/A</div>	Currency Derivative	<div>2(d)/17 N/A</div>	Currency Derivative	<div>3(d)/17 N/A</div>

(*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.)

Past Actions

Please give the details of any action taken by SEBI/Stock Exchange/ any other authority for violation of Securities Laws/ other economic offences specifically indicating any action taken during the previous 3 years.

Dealings through Sub-brokers and other Stock Brokers

Whether dealing through the sub-broker, provide the following details:

Sub-broker's Name: _____
SEBI Registration number: _____
Registered office address: _____

Telephone: _____ Fax: _____
Website: _____

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

If Yes, Stock Broker's Name: _____
Client Code: _____ Name of the Exchange: _____
Details of disputes/dues pending from/to such stock broker/sub- broker: _____



ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

Additional Details

I wish to receive ☐ Physical Contract note ☐ Electronic Contract Note (ECN) (please specify):

Specify your Email id, if applicable: _____

Whether you wish to avail the facility of ☐ Internet trading ☐ Wireless technology (please specify):

Investment/ Trading Experience

☐ No Prior Experience

Years in Equity

Years in Derivatives

Years in Other Investment Products

Introducer's Details

Introducer 1 (For Mutual Fund)

Name: _____

Status: ☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client

☐ Others, please specify _____

Address: _____

Contact Number: _____

Introducer's Code: _____

Introducer's PAN: _____

Introducer
Signature

x

Introducer 2 (For Capital Market)

Name: _____

Status: ☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client

☐ Others, please specify _____

Address: _____

Contact Number: _____

Introducer's Code: _____

Introducer's PAN: _____

Introducer
Signature

x

FOR OFFICE USE ONLY

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 Company's website, if any, for the information of the clients.

**Member's
Authorized
Signatory**

x

Signed by: _____

Date: DDMMYY

**Seal/Stamp of
stock broker**



ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

Multiple Bank Accounts

To _____ UCC: _____
NJ INDIANVEST PRIVATE LIMITED,
Block No.901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna,
Surat - 394210, Gujarat.

I request you to make the following additions to my Trading account in your records.

For each bank account, investors should produce originals for verification or submit originals of the documents mentioned below.

Bank Details

1. Name of the Bank _____
Account No _____ IFSC Code: _____
Bank Address _____
City: _____
State: _____ Pin/Zip Code: _____
Country: _____
MICR Code _____ Account Type: ☐ Savings ☐ Current ☐ Other _____
Document attached (Any one): ☐ Cancelled Cheque with name pre-printed ☐ Bank statement
☐ Pass book ☐ Bank Letter

2. Name of the Bank _____
Account No _____ IFSC Code: _____
Bank Address _____
City: _____
State: _____ Pin/Zip Code: _____
Country: _____
MICR Code _____ Account Type: ☐ Savings ☐ Current ☐ Other _____
Document attached (Any one): ☐ Cancelled Cheque with name pre-printed ☐ Bank statement
☐ Pass book ☐ Bank Letter

Bank Proof (Any one Proof Required from the following list (Self attested)):

- 1) Copy of cancelled cheque Leaf with name of the accountholder preprinted on it
- 2) Bank passbook having name and address of the account holder and latest transaction pages being not more than 2 months old.
- 3) Bank Statement having name and address of the accountholder being not more than 2 months old
- 4) Letter from the bank certifying the account number and period from which the account is in operation. The bank branch and designation and name of the bank official should be clear. Also enclosed copy of cheque.

Name: _____

x 04/17

Sole/First Holder OR Guardian (In case of Minor)



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COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

Bank Details (For Demat purpose and will be used as default bank)

Name of the Bank _____

Branch _____ IFSC Code: _____

Bank Address _____

City: _____ State: _____

Country: _____ Pin/Zip Code: _____

Account No _____

Bank Code _____ Account Type: ☐ Savings ☐ Current ☐ Other _____
(9 digit MICR Code)

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 options ii, iii, and iv above, MICR code of the branch should be present/ mentioned on the document and should be self-certified by the BO.)

Other Details

Gross Annual Income Details	Income Range per annum: <input type="checkbox"/> Up to ₹1,00,000 <input type="checkbox"/> ₹1,00,000 to ₹5,00,000 <input type="checkbox"/> ₹ 5,00,000 to ₹10,00,000 <input type="checkbox"/> ₹10,00,000 to ₹ 25,00,000 <input type="checkbox"/> More than ₹25,00,000		
	Net worth as on (Date) D D M M Y Y Y Y ₹ _____ [Net worth should not be older than 1 year]		
Occupation	Sole/First Holder <input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____	Second Holder <input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____	Third Holder <input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)		
Any other information			

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COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

NOMINATION FORM

To,
NJ India invest Pvt Ltd
 Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex,
 Central Road No. 10, Udhna, Surat - 394 210, Gujarat, India.

Dear Sir / Madam,
 I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

☐ I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

BO Account Details

DP ID

Client ID

Name of the Sole / First Holder

Name of Second Holder

Name of Third Holder

Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally [If not equally, please specify percentage]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form				
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s) City / Place: State & Country: PIN Code			
5	Mobile / Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details :- <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:				
8	Date of Birth {in case of Minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			



COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

10	Address of Guardian(s)			
	City / Place:			
	State & Country:			
	PIN Code			
11	Mobile / Telephone No. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details :-			
	<input type="checkbox"/> Photograph & Signature			
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)				Signature(s) of holder
	Sole / First Holder (Mr./Ms.)			05/17
	Second Holder (Mr./Ms.)			01/05
	Third Holder (Mr./Ms.)			01/05

COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

DECLARATION FORM FOR OPTING OUT OF NOMINATION

To,
NJ India invest Pvt Ltd
Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh
Commercial Complex, Central Road No. 10, Udhna, Surat - 394 210,
Gujarat, India.

Date

BO Account Details

DP ID

Client ID

Name of the Sole / First Holder

Name of Second Holder

Name of Third Holder

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

Name(s) of holder(s)		Signature(s) of holder
Sole / First Holder (Mr./Ms.)		05/17
Second Holder (Mr./Ms.)		01/05
Third Holder (Mr./Ms.)		01/05

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COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

Notes:

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
11. DP ID and client ID shall be provided where demat details is required to be provided.

.....(Please Tear Here).....

Acknowledgment Receipt

Received nomination from :

DP ID

Client ID

Name			
Address			
Nomination in favor of First-Nominee			
Second- Nominee			
Third - Nominee			
No Nomination	<input type="checkbox"/> Does not wish to nominate		
Registration No.		Registered on	Date <small>D D M M Y Y Y Y</small>

Depository Participants Seal & Signature



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COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

To be filled by Branch

Employee Name _____
Date: DDMMYYYY Signature of the Employee

x

Branch _____

For Processing Office Only

Audited by _____ UCC _____
Storage File No. _____ Date: DDMMYYYY
☐ (Originals verified) True copies of documents received
☐ (Attested) True copies of documents received

**Member's
Authorized
Signatory**

x

**Seal/Stamp of
stock broker**

.....(Please Tear Here).....

ACKNOWLEDGEMENT RECEIPT

Application No.

W

Date: _____

We hereby acknowledge the receipt of the Trading and Demat Account Opening Form.

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

For, **NJ India Invest Private Limited** _____



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**MANDATORY & NON-MANDATORY DOCUMENT AND
DECLARATION FOR OPENING TRADING AND DEMAT ACCOUNT**

From

First Holder Name _____

Second Holder Name _____

Third Holder Name _____

DP ID _____

Client ID _____

To

NJ INDIAINVEST PRIVATE LIMITED,

Block No.901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex,
Central Road No. 10, Udhna, Surat - 394210, Gujarat.

Dear Sir,

1. I/We hereby opt to receive the below listed documents in ☐ Physical Form ☐ Electronic Form
2. I/We am/are desirous of opening the trading and demat account with NJ India Invest Private Limited in the process of executing client registration documents relating to the opening of trading and demat account.
3. I/We have furnished all the details required in the Account opening form as per SEBI/Exchange/Depository requirements. I/We confirm having read/been explained & understood the contents of the Mandatory and Non- Mandatory documents which are provided to me/us. I/We agree that the Mandatory and Non-Mandatory document contains following:

a)	Instructions for Demat Account	(Page No. 1)
b)	Instructions for Trading Account	(Page No. 2)
c)	Details & Checklist for Trading and Demat Account	(Page No. 3)
d)	Rights and Obligations of the parties (including additional rights and obligations in case of internet and wireless technology based trading) prescribed by SEBI and Stock exchanges.	(Page No. 7)
e)	Internet & Wireless Technology based Trading facility provided by Stock Brokers to Clients	(Page No. 11)
f)	Uniform Risk Disclosure Documents (RDD) prescribed by SEBI and Stock exchanges detailing risk associated with dealing in the securities market	(Page No. 12)
g)	Proprietary Trade Declaration	(Page No. 16)
h)	Guidance note detailing Do's and Don'ts for trading on Stock exchanges, for the education of the investors	(Page No. 17)
i)	Policies and Procedures - Document describing significant policies and procedures of the Stock Broker	(Page No. 19)
j)	Information on Anti Money Laundering for educating Clients	(Page No. 21)
k)	Voluntary Clauses – Enabling clauses to provide services customized to suit Client's needs and improve service delivery	(Page No. 23)
l)	Terms and Conditions for receiving SMS Alert from CDSL	(Page No. 28)
m)	Terms and Conditions for receiving SMS Alert from NSDL	(Page No. 31)
n)	Terms and Conditions for availing Transaction using Secured Texting (TRUST) service offered by CDSL	(Page No. 34)
o)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	(Page No. 36)
p)	Mandatory and Non-Mandatory Document Booklet and Declaration	(Page No. 39)

**MANDATORY & NON-MANDATORY DOCUMENT AND
DECLARATION FOR OPENING TRADING AND DEMAT ACCOUNT**

4. I/We understand and agree that any amendment/modifications as required by the exchanges/Depository and/or regulators will be applicable to me/us at all point of time and I/We understand that these changes will be intimated to me/us.
5. I/We understand that the Mandatory and Non-Mandatory document is in accordance of the exchanges and/or SEBI/Depository requirements applicable for opening Trading and Demat Account.
6. 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 agree and undertake to inform you of any change(s) therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
7. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and tariff sheet.
8. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on the stock broker's designated website, if any.
9. I/We have received and read the copy of Rights and Obligations of the Beneficial Owner and Depository Participant and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time.
10. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

Place: _____

Date: D D M M Y Y Y Y

Name: _____

x		06/17
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Sole/First Holder OR Guardian (In case of Minor)

Name: _____

x		02/05
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Second Holder

Name: _____

x		02/05
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Third Holder

TARIFF SHEET

Mutual Fund

Transaction type / Scheme type	Purchase/ Switch	Redemption	SIP
Equity/Balance			
Debt			
Cash			
Others			

Note:

1. The above rates would be charged/collected from the client at the time of transaction.
2. Brokerage rate mentioned would be considered in percentage terms.
3. The rates would be inclusive of GST
4. NJ India Invest Private Limited reserves the right to deduct the brokerage from future transactions, in case of any pending dues.
5. Brokerage structure for "Others" include all schemes not covered under Equity, Debt & Cash.

Name of the Client: _____

Client
Signature

x 07/17

Introducer's Name: _____

Introducer
Signature

x

Introducer's Code: _____

TARIFF SHEET

Capital Market

Market Segment	Brokerage Rate Structure
Direct Equity	<input type="checkbox"/> 0.50% or Rs 20/- on executed order whichever is lower OR <input type="checkbox"/> _____% (MIN. 0.10% - MAX. 2.5%)
Debt	<input type="checkbox"/> 0.50% or Rs 20/- on executed order whichever is lower OR <input type="checkbox"/> _____% (MIN. 0.10% - MAX. 2.5%)
Liquid	0.05% or Rs 20/- on executed order whichever is lower

Note:

1. In case of customized rate, Max Rate applicable is 2.5% and Minimum Rate applicable is 0.10%
2. GST on Brokerage will be charged as applicable.
3. Securities Transaction Tax (STT) applicable as per delivery & non delivery on turnover.
4. Stamp Duty Applicable State wise as per delivery and non-delivery will be levied on turnover.
5. SEBI Turnover Tax may be applicable in future.
6. Exchange Transaction Charges will be applicable in future as defined by respective exchange.

Name of the Client: _____

Client
Signature

x 08/17

Authorised Person's
Name: _____

Authorised Person
Signature

x

Authorised Person's
Code: _____

ANNEXURE A

BSE STAR MF (Letter to be provided by the investor to the MFI)

Date: D D M M Y Y Y Y

To

NJ India Invest Private Limited

Sir,

Sub: BSE STAR MF

I/We, _____

am/are registered as your client with Client Code No. _____ for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange).

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

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

I/We are willing to abide by the terms and conditions as mentioned in the circular dated December 2, 2009 and as may be specified by the exchange from time to time in this regard.

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

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

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

Thanking you,

Yours faithfully,

Sole/First Holder OR Guardian (In case of Minor)

x	09/17
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ANNEXURE A

Details of terms & conditions for the investor / client for using BSE STAR MF platform

1. Pre-requisites for becoming an investor / a client for the BSE STAR MF platform

1.1 The client, who is desirous of investing in units of mutual fund schemes through the BSE STAR MF.

1.2 The client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the BSE STAR MF platform.

1.3 The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transaction through the MFI.

1.4 The client has approached the MFI with the application for availing the BSE STAR MF platform.

1.5 The client has submitted relevant KYC (Know Your Client) details to the MFIs

2. Terms and Conditions

2.1 The client shall be bound by circulars issued by BSE's rules, regulations and notices/circulars issued there under by SEBI and relevant notifications of government authorities as may be in force from time to time.

2.2 The client shall notify the MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the BSE STAR MF platform or at any time thereafter.

2.3 The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI.

2.4 The client has read and understood the risks involved in investing in Mutual Fund Schemes.

2.5 The client shall be wholly responsible for all his investment decisions and instruction.

2.6 The client shall ensure continuous compliance with the requirements of the BSE, SEBI and AMFI.

2.7 The client shall pay to the MFI fees and statutory levies as are prevailing from time to time and as they apply to the client's account, transactions and to the services that MFI renders to the client.

2.8 The client will furnish information to the MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

2.9 In the event of non-performance of the obligation by the MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL).

2.10 In case of any dispute between the MFIs and the investors arising out of the BSE STAR MF platform, BSE and / or ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Thanking you,

Yours faithfully,

Sole/First Holder OR Guardian (In case of Minor)

x	10/17
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ANNEXURE B

MUTUAL FUND SERVICE SYSTEM FACILITY (Letter to be provided by the investor to the participant)

Date: D D M M Y Y Y Y

To

NJ India Invest Private Limited

Sir,

Sub: Mutual Fund Service System (MFSS) facility

I/We, _____

are desirous of being registered as your client for the purpose of participating in the MFSS.

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

I/We am/are willing to abide by the operating guidelines and terms and conditions as may be specified by the Exchange from time to time in this regard including the terms and conditions specified by the Exchange with respect to MFSS since 2009. I/We shall also comply with all the Know Your Client (KYC) and Anti Money Laundering (AML) requirements, as may be specified by the Exchange.

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

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

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

Thanking you,

Yours faithfully,

Sole/First Holder OR Guardian (In case of Minor)

x	11/17
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ANNEXURE B

Details of terms & conditions for the investor / client for using new MFSS facility

1. Pre-requisites for becoming investor / client for the new MFSS facility

1.1. The client, who is desirous of investing in units of mutual fund schemes through the new MFSS.

1.2. The client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the participant of the new MFSS.

1.3. The client has satisfied itself of the capacity of the participant to deal in Mutual Fund units and wishes to execute its instruction through the participant and the client shall from time to time continue to satisfy itself of such capability of the participant before executing transaction through the participant.

1.4. The client has approached the participant with the application for availing the new MFSS facility.

1.5. The client has submitted relevant KYC (Know Your Client) details to the participants

2. Terms and Conditions

2.1. The client shall be bound by circulars issued by NSEIL from time to time including the circulars issued by NSEIL 2009 onwards and circulars issued thereafter and circulars issued there under by SEBI, and relevant notifications of government authorities as may be in force from time to time.

2.2. The client shall notify the participant in writing if there is any change in the information in the 'client registration form' provided by the client to the participant at the time registering as a client for participating in the new MFSS or at any time thereafter.

2.3. The client shall submit to the participant a completed application form in the manner prescribed format for the purpose of placing an order with the participant.

2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.

2.5. The client shall be wholly responsible for all his investment decisions and instruction.

2.6. The client shall ensure continuous compliance with the requirements of NSEIL, SEBI and AMFI.

2.7. The client shall pay to the participant, fees and statutory levies as are prevailing from time to time and as they apply to the client's account, transactions and to the services that participant renders to the client.

2.8. The client will furnish information to the participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation, which may have material bearing on his capacity has been filed against him.

2.9. In the event of non-performance of the obligation by the participant, the client is not entitled to claim any compensation either from the investor protection fund or from any fund of NSEIL or NSCCL.

2.10. In case of any dispute between the participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

Thanking you,

Yours faithfully,

Sole/First Holder OR Guardian (In case of Minor)

x	12/17
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APPENDIX-I

ICEX-MF
(Letter to be provided by the Investor to the MFI)

Date: D D M M Y Y Y Y

To

NJ India Invest Private Limited

Sir,

Sub: ICEX MF

I/We, _____

am/are registered as your client with Client Code No. _____. I/We am/are interested in availing the facility of the Exchange for the purpose of transacting in the units of Mutual Funds Schemes permitted to be dealt with on the ICEX-MF.

For the purpose of availing this facility, I/we state that Know Your Client details, as already submitted by me/us for my/our registration as a client may be considered for the purpose of ICEX-MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We undertake to abide by the terms and conditions as mentioned in the Circular dated 24th Dec, 2019 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI) or by any other regulatory authority as may be applicable to transaction in Mutual Fund units.

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We also undertake to abide by Bye-Laws/Rules/Regulations of ICEX as applicable to registered clients under the member of ICEX.

I/we therefore request you to register me/us as your client and allow me/us for participating in ICEX MF.

Thanking you,

Yours faithfully,

Sole/First Holder OR Guardian (In case of Minor)

x	13/17
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VOLUNTARY DECLARATION

AUTHORIZATION FOR MAINTENANCE OF RUNNING ACCOUNT (NSE/BSE)

Date: DDMMYYYY

I/We have been/shall be dealing through you as my/our broker on the Capital Market. As my/our broker i.e. agent I/we direct and authorize you to carry outtrading/dealings on my/our behalf as per instructions given below.

I am/we are aware that you and I/we have the option to deliver securities/make payments of funds to each other for settlement of dealings as per the schedule in force, at the relevant time pursuant to directives/regulations/circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin/collateral without which we cannot deal/trade.

Therefore, I/we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/funds in settlement of trades/dealings, please keep the securities and monies with you and make credit entries for the same in running accounts of securities and fund maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/ trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/ funds towards such obligations and may also retain the funds expected to be required to meet margin

obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account, please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in statement(s) being sent, the retention of funds/ securities or transfer of securities to the Client Unpaid Securities Account and the details of the pledge with CC/CM, if any executed by way of transfer to the Client Collateral Account.

I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/ securities or statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever.

Please further note that I am/We are entitled to revoke this authorization at any time. I/we shall be liable for all losses, damages and actions, which may arise as a consequence of your adhering to and carrying out my/our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/ monies under this agreement. My/Our preference for actual settlement of funds and securities is at least:

- ☐ Once in a calendar quarter
☐ Once in a calendar month

**Thanking you,
Yours Faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x 14/17

Name: _____

Unique Client Code (UCC): _____



OPTION FORM FOR ISSUE OF DIS BOOKLET

DP ID: _____

Client ID _____

Date: DDMMYYYY

Sole/First Holder	
Second Holder	
Third Holder	

To,
NJ India Invest Private Limited
Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,
Central Road No.10, Udhna, Surat - 394210, Gujarat.

Dear Sir / Madam,

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

☐ **OPTION 1:**

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

Yours faithfully

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures			

OR

☐ **OPTION 2:**

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

Yours faithfully

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures			

.....(Please Tear Here).....

Acknowledgement Receipt

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

DP ID: _____

Client ID _____

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



Depository Participant Seal and Signature

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SMS ALERT & TRUST FACILITY (CDSL)

Registration Form for availing SMS Alert and /or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility

To,
NJ India Invest Private Limited
Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,
Central Road No.10, Udhna, Surat - 394210, Gujarat.

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

☐ SMART-SMS alert facility

☐ TRUST- Transaction using Secured Texting facility

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID: 1 2 0 6 4 2 0 0

Sole / First Holder's Name: _____

Second Holder's Name: _____

Third Holder's Name: _____

I/We wish to register the following clearing members / IDs under my/our above mentioned BO ID registered for TRUST

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile Number on which messages are to be sent: +91 _____

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

(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

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)

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 purpose of availing the said facility.

I/we acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / non-execution of the said transactions based on receipt/non-receipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies 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.

x 15/17

Sole/First Holder OR Guardian (In case of Minor)

x 03/05

Second Holder

x 03/05

Third Holder

Date: DDMMYYYY

Place: _____



E-STATEMENT & SMS ALERT FACILITY FORM - NSDL

To,
NJ India Invest Private Limited
Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,
Central Road No.10, Udhna, Surat - 394210, Gujarat.

Dear Sir/Madam,

I/We wish to avail the below mentioned facility(ies) for my/our Demat Account with NJ India Invest Private Limited (NJII) and I/We acknowledge and grant my/our consent to NJII for providing the said services as per the given Terms & Conditions:

☐ **Statement on E-mail**

I/We confirm having opted to receive the statement(s) pertaining to the below mentioned BO account in electronic mode in lieu of the physical copy of the statement(s).

I/We also reserve my/our right to receive the physical copy of the statement(s) despite receiving the same in electronic mode, if such a demand is made in writing to NJII.

I/We confirm that any change in the E-mail address or any other instructions with regard to dispatch/service of my/our e-statements on me/us shall not be binding upon NJII unless NJII is intimated in writing by me/us by acknowledged delivery. NJII shall not take cognizance of out-of-office/out-of-station auto replies and I/We shall be deemed to have received such statements.

I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the E-mail account.

I/We am/are aware that the statement(s) may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.

I/We have understood that NJII & myself/ourselves holds the authority to terminate Statement on mail facility provided a written notice is given in advance to the other party.

I/We affirm that NJII shall not be responsible for the non-receipt of the Statement due to any change in my/our E-mail address and if the same is not intimated by me/us to NJII and that NJII shall not take cognizance of out-of-office/out-of-station auto replies and I/We shall be deemed to have received such Statements.

I/We undertake that it shall be my/our responsibility to verify all the details of my Statement(s). Incase there is any discrepancy in the Statement(s); I/we shall inform NJII of the same by writing to dpservices@njgroup.in or to Customer Care at the above mentioned address. In case I/we do not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us. However NJII in its absolute discretion, reserves the right to determine the validity of any objection to the transaction, even though the objection is received after the expiry of stipulated time.

☐ **Statement on Web**

I/We confirm having opted to receive the statement(s) pertaining to the below mentioned BO account in electronic mode in lieu of the physical copy of the statement(s).

I/We understood that Statement on Web facility would only be provided to me only when I have Online Trading Account with NJII.

I/We also reserve my/our right to receive the physical copy of the statement(s) despite receiving the same in electronic mode, if such a demand is made in writing on NJII.

I/We am/are aware that I/we will not receive the statement(s) in paper form and I/we would be required to login to NJII's Online account to view my statements.

I/We am/are aware that the statement(s) may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.

I/We have understood that NJII & myself/ourselves holds the authority to terminate Statement on web facility provided a written notice is given in advance to the other party.

E-STATEMENT & SMS ALERT FACILITY FORM - NSDL

I/We undertake that it shall be my/our responsibility to verify all the details of my Statement(s). In case there is any discrepancy in the Statement(s), I/we shall inform NJIL of the same by writing to dpsservices@njgroup.in or to Customer Care at the above mentioned address. In case I/we do not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us. However NJIL in its absolute discretion, reserves the right to determine the validity of any objection to the transaction, even though the objection is received after the expiry of stipulated time.

☐ SMS Alert Facility

I/We understand that the SMS Alerts would be sent for all types of debits and credit's into the below mentioned Demat Account Number.

I/We provide the following information for the purpose of REGISTRATION/MODIFICATION (Please cancel out whichever is not applicable, as per the option(s) selected above).

DP ID IN304262

Client ID _____

(Please write your 8 digit Client ID)

Mobile Number on which messages are to be sent: +91 _____

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

The mobile number is registered in the name of _____

Email ID: _____

(Please write only ONE valid email ID on which E-Statement/Communications; if any, is to be sent)

The Depository Participant 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 Participant providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the Depository Participant and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a Depository Participant 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. The Depository Participant 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.

Name: _____

x	16/17
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Sole/First Holder OR Guardian (In case of Minor)

Name: _____

x	04/05
---	-------

Second Holder

Name: _____

x	04/05
---	-------

Third Holder

Date: DDMMYYYY

Place: _____

Signature Verification Details (to Be Filled By The Dp-official Only)

Name		Signature	
Location		Emp. Code	

SCHEDULE OF CHARGES

CDSL DP ID : 12064200 / NSDL DP ID: IN304262

NJ India Invest Private Limited

Regd. Office : Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex,
Central Road No.10, Udhna, Surat - 394210, Gujarat.

Particulars	Charges
Agreement charges	NIL
Annual Maintenance Charges -Normal	Individual : ₹ 300/- Corporates : ₹ 600/-
Demat / Remat charges	₹ 3/- per certificate + ₹ 50/- for courier handling per ISIN
Custody / Holding charges	Nil
Transfer security	-
Buy	Nil
Market / Off Market (Only Debit Transaction)	₹ 25/- (₹ 18/- for in house market transaction) per ISIN
Pledge (Creation/ Closure/ Invocation)	₹ 40/- per ISIN

CONDITIONS :

1. Annual maintenance charges have to be paid at the end of 1 year from the date of account opening.
2. In case the client opts closure of the demat account within 1 year from the date of account opening, then Annual Maintenance Charges shall be charged proportionately as per SEBI circular.
3. All the charges mentioned above are inclusive of CDSL/NSDL charges.
4. GST as applicable would be levied.
5. The above charges are subject to change with 30 days prior notice. However, in case of revision of charges by CDSL/NSDL. A shorter notice may be given.
6. Charges once paid will not be refunded.
7. All instructions for transfer must be received at least one day before the execution/pay-in date.
8. Same day execution/late instructions will be accepted on "A best efforts basis" at the sole risk and responsibility of the depository account holder(s).
9. The depository services may be temporarily discontinued if the cheque given for availing DP services is returned unpaid. Intimation of discontinuation of the DP services shall be in accordance with the rules specified by CDSL/NSDL. The DP services shall be resumed after recovery of the returned cheque plus ₹100/- as additional charges.
10. All pledging services (creation, closure and invocation) shall be separately charged at the time of each transaction.
11. Value of securities will be in accordance with the rates provided by CDSL/NSDL.
12. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.

We have read and understood the charges and conditions as above and agree to abide by the same

BOID: _____

Name: _____

x 17/17

Sole/First Holder OR Guardian (In case of Minor)

Name: _____

x 05/05

Second Holder

Name: _____

x 05/05

Third Holder



FATCA-CRS Declaration - *Individuals*

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

SOLE/FIRST HOLDER DETAILS

PAN*

Name

Type of address given at KYC KRA

Residential ☐

Residential or Business ☐

Business ☐

Registered Office ☐

State

Phone No (with ISD Code)

Place of Birth

Country of Birth

Nationality

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

Yes ☐

No ☐

If yes, Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN, GIIN, CIN, EIN, others, etc.

Country #	Tax Identification Number	Identification Type (TIN or Other, please specify)
<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"/>	<input type="text"/>

SECOND HOLDER DETAILS

PAN*

Name

Type of address given at KYC KRA

Residential ☐

Residential or Business ☐

Business ☐

Registered Office ☐

State

Phone No (with ISD Code)

Place of Birth

Country of Birth

Nationality

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

Yes ☐

No ☐

If yes, Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN, GIIN, CIN, EIN, others, etc.

Country #	Tax Identification Number	Identification Type (TIN or Other, please specify)
<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"/>	<input type="text"/>

THIRD HOLDER DETAILS

PAN*

Name

Type of address given at KYC KRA

Residential

Residential or Business

Business

Registered Office

State

Phone No (with ISD Code)

Place of Birth

Country of Birth

Nationality

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

Yes

No

If yes, Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN, GIIN, CIN, EIN, others, etc.

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

DECLARATION & SIGNATURES

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after necessary consultation with tax professionals. I/We have read and understood the information provided by me/us in this Form is true, correct and complete. I/We hereby authorize you [NJ AMC/NJ Fund/NJ India/Other group entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to the Mutual Fund, its Sponsor, Asset Management Company, trustees, their group companies, any service provider including RTA or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same.

x

Sole/First Holder

x

Second Holder

x

Third Holder

Place:

Date:

FATCA & CRS Terms & Conditions

Details under FATCA & CRS : The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of Income tax Rules, 1962 which Rules require Indian financial institutions such as the Investment Entity/Custodial Institution to seek additional personal ,tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any Information provided by you, please ensure you advise us promptly, i.e within 30 days Please note that you may receive more than one request for information if you have multiple relationships with NJ India Invest Private Limited or its group entities. Therefore , it is important that you respond to our request, even if you believe you have already supplied any previously requested information.



Head Office: NJ group, NJ center, Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna, Surat - 394 210, Gujarat.
Phone: 91 261 4025500.



NON-MANDATORY - POWER OF ATTORNEY

POWER OF ATTORNEY IN FAVOUR OF NJ INDIA INVEST PRIVATE LIMITED

To all to whom these presents shall come I/ we
1) _____

residing at/ having its registered office at (As per
KYC) _____

2) _____
residing at/having its registered office at (As per
KYC) _____

3) _____
residing at/having its registered office at (As per
KYC) _____

Whereas I/ we hold beneficial owner account
number _____ with Central
Depository Services (India) Limited ("CDSL")/
National Securities Depository Limited ("NSDL"),
through NJ India Invest Private Limited registered
with Securities and Exchange Board of India
("SEBI").

And Whereas I/ we am/ are desirous to buy and sell

securities through NJ India Invest Private Limited,
who is a SEBI registered Stock Broker and Trading
Member of National Stock Exchange of India,
Bombay Stock Exchange and Indian Commodity
Exchange Limited bearing SEBI registration no.
INZ000213137 and a Depository Participant with
CDSL & NSDL bearing SEBI registration no.IN-DP-
14-2015 ("Trading Member").

And Whereas I/ we am/ are desirous of appointing
Trading Member as my/our constituted attorney to
operate my/ our beneficial owner account on my/ our
behalf for a limited purpose in the manner hereinafter
appearing and subject to conditions as provided
herein.

Now know you all and these presents witness that I/
we do hereby nominate, constitute and appoint
Trading Member as my/our true and lawful attorney
and authorise it, to perform the following functions on
my/our behalf:

1. To transfer securities held in my/ our
aforementioned beneficial owner account(s) or any
other account informed by me/us in writing to the
Trading Member from time to time to the below
mentioned beneficial owner account(s) of the
Trading Member maintained for the purpose of
settlement of trades executed by me/us on any
recognized stock exchange through the Trading
Member.

x _____ 03/05

Sole/First-Holder/Authorised Signatory

x _____ 01/03

Second-Holder/Authorised Signatory

x _____ 01/03

Third-Holder/Authorised Signatory



NON-MANDATORY - POWER OF ATTORNEY

Name of the transferee (Trading Member)	Details of beneficial owner account	Name of the beneficial owner accounts
NJ India Invest Private Limited	1206420000000404	CM Pool Account (BSE)
NJ India Invest Private Limited	1206420000000398	CM Principal Account (BSE)
NJ India Invest Private Limited	1100001000020915	Early Pay in Account (BSE)
NJ India Invest Private Limited	IN30426210000029	NSDL Pool Account (BSE)
NJ India Invest Private Limited	1206420000012724	CM Clearing Member Account (NSE)
NJ India Invest Private Limited	1100001100018830	Early Pay in Account (NSE)
NJ India Invest Private Limited	IN30426210000004	NSDL Pool Account (NSE)
NJ India Invest Private Limited	IN30426210000096	NSDL Client unpaid securities Account (BSE)
NJ India Invest Private Limited	IN30426210000107	NSDL Client unpaid securities account (NSE)
NJ India Invest Private Limited	1206420012905404	CDSL Client unpaid securities account (BSE)
NJ India Invest Private Limited	1206420012905419	CDSL Client unpaid securities account (NSE)
NJ India Invest Private Limited	1206420012905894	CDSL Indian Commodity Exchange Limited-ICEX
NJ India Invest Private Limited	IN30426210000123	NSDL Indian Commodity Exchange Limited-ICEX

However, the said Power will be restricted to only transfer of securities to the Clearing Member ID allotted to the Trading Member by any existing or future exchange that the Trading Member has joined/ will join as a member or to any beneficial owner accounts linked to the said Clearing Member ID; provided that I/we have executed a Client Member Agreement with the Trading Member for such exchanges.

2. To pledge the securities in favor of the Trading Member for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the Trading Member in respect of below mentioned beneficial owner account(s) of the Trading Member.

Name of the transferee (Trading Member)	Details of beneficial owner account	Name of the beneficial owner accounts
NJ India Invest Private Limited	IN30426210000140	NSDL TM Client Securities Margin Pledge Account
NJ India Invest Private Limited	1206420014906261	CDSL Corporate TM/CM CMPA

3. To re-pledge such securities to the Clearing Member/ Clearing Corporation as the case may be.

4. To return to me/us, the securities that may have been received by the Trading Member erroneously or those securities that the Trading Member was not entitled to receive from me/us;

5. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

6. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights,

x 04/05

x 02/03

x 02/03

Sole/First-Holder/Authorised Signatory Second-Holder/Authorised Signatory Third-Holder/Authorised Signatory



NON-MANDATORY - POWER OF ATTORNEY

offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker.

7. To apply for redemption or repurchase of units of mutual fund by signing & submitting requests to Depository Participant for processing on my/our behalf.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at **Block No. 901 & 902, 6th floor, 'B' Tower, Udhna Udhyog Nagar Sangh Commercial Complex, Central Road No 10, Udhna, Surat - 394 210, Gujarat.**

IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year herein below written.

Name: _____ Name: _____ Name: _____

x 05/05

x 03/03

x 03/03

Sole/First-Holder/Authorised Signatory Second-Holder/Authorised Signatory Third-Holder/Authorised Signatory

In presence of

Witness Name _____

Signature of
Witness

x

Address _____

We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.

For NJ India Invest Private Limited

x

Name _____

Designation _____

Authorised Signatory

Witness Name _____

Signature of
Witness

x

Address _____

Date: D D M M Y Y Y Y

Place: _____



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BANK MANDATE TERMS & CONDITIONS

Bank Mandate Terms & Conditions :

1. These Terms & Conditions are applicable for Physical/ Scan & eMandates.
2. Bank Mandate shall be in favor of 'NJ India Invest Private Limited' being stock broker and depository participant (Hereinafter 'NJ').
3. The Bank details in the Bank Mandate MUST match with bank details mentioned in Client's E-Wealth Account.
4. Client Signature on bank mandate must be as per bank records. Signature of all bank account holders required if mode of holding in a bank account is "Joint".
5. NJ reserves the right to register bank mandates in any available modes ie Auto Debit, ACH, ECS.
6. Bank Mandate shall upto 30 (thirty) days to get registered from the date of submission of Mandate to NJ (subject to Bank confirmation).
7. Client's bank may charge the client's bank account for activating any such services. Neither NJ nor its service provider shall be held responsible in respect of any such charges.
8. Mandate format is subject to change in accordance with the guidelines issued by RBI/NPCI/concerned banks. The transaction may get rejected in case the Client fails to submit the Mandate as per revised format and NJ or its service provider shall not be held responsible in such circumstances.
9. The Mandate is agreed to be used for collection of DP charges and pay-in obligations of all segments from the Client's bank account.
10. This Mandate covers the Client's fund obligations of all nature arising out of its transactions or otherwise in respect of the E-Wealth Account.
11. The Client shall be responsible for updating the correct and latest bank account details along with updated Mandate with NJ from time to time in case of any changes in bank accounts.

Call & Transact Terms & Conditions:

1. On activation of the E-Wealth Account, Telephone Private Identification Number ("TPIN") for Call & Transact will be sent to the client on its registered email id and mobile number. The Client MUST ensure to maintain confidentiality of the same and shall not disclose to anyone.
2. The Client can be able to place only those transactions on Call & Transact which are being available under the Call & Transact facility offered by NJ.
3. It is the client's responsibility to check the cut-off time for applicability of the same day NAV before placing the transaction.
4. NJ shall take all necessary action to ensure that the NAV allotted is the NAV applicable on the date of the transaction. However, NJ, its employees, representatives and service providers shall not be liable for any loss that may arise to the Client as a result of the correct NAV not being allotted to the Client's transactions on the E-Wealth Account Portal for any reasons whatsoever.
5. The Client has to call on the designated number to place the transaction using Call & Transact. The Client shall enter the User ID & TPIN for verification purposes before placing any transaction. NJ reserves the right to ask for any additional information for authentication purposes from the Client anytime under Call & Transact facility. Any transaction placed through this facility shall not be reversible by client in any circumstances whatsoever.
6. The Client's bank may levy any charges to the client's bank account in respect of processing the transaction through Bank Mandate. Neither NJ nor its service provider shall be held responsible in respect of any charges levied by the client's bank.
7. Call & Transact facility is offered by NJ in compliance with the applicable laws and regulatory compliances from time to time.
8. NJ reserves rights to change the terms and conditions at any point of time without prior notice to the Client.
9. These Terms and Conditions are applicable in addition to the NJ E-Wealth Account Transaction Terms and Conditions.
10. Any dispute shall be subject to jurisdiction of Courts at Surat only.

*Client Name: _____

*Unique Client Code(UCC): _____

*Date:

Client Signature:



www.njwealth.in



WEALTH

**FINANCIAL
PRODUCTS
DISTRIBUTORS
NETWORK**

Head Office: NJ India Invest Private Limited, Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna, Surat - 394 210, Gujarat.
Phone: 91 261 4025500 | Website: www.njwealth.in | CIN: U67120GJ2000PTC037674
SEBI Reg No - BSE, NSE & ICEX: INZ000213137, SEBI Reg No - CDSL & NSDL: IN-DP-14-2015
Processing Centre: Plot No. 232, Ground Floor and First Floor, Silvassa Commercial Complex, Tokarkhada, Silvassa - 396 230 | Mo.: 9909042468 | Email: dpservices@njgroup.in