

**PART-I KNOW YOUR CLIENT (KYC) APPLICATION FORM**

**FIRST HOLDER**

**ANNEXURE-J**

**JUST TRADE SECURITIES LIMITED (MIID-P2148)**

Bajaj House 97, Nehru Place, New Delhi-110019  
Ph.: 011-41693000, 66161111 Fax : 011-66608888  
Email: info@bajajcapital.com  
Website: www.justtrade.in  
**CIN - U67120DL2004PLC130803**

**BAJAJ CAPITAL LIMITED (MIID-P1341)**

Mezzanine Floor, Bajaj House 97, Nehru Place, New Delhi-110019  
Ph.: 011-41693000, 66161111 Fax : 011-66608888  
E-mail Id: dp@bajajcapital.com  
Website: www.bajajcapital.com  
**CIN - U67120DL1965PLC004338**

**FOR INDIVIDUAL**

**For office use only** Application Type\*  New  Update  
(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)  
Account Type\*  Normal  Simplified (for low risk customers)  Small

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

**A. IDENTITY DETAILS Please fill this form in ENGLISH and in BLOCK LETTERS**

**Name of the Applicant**

**Father's/Husband's Name**

**Mother's Name**

**Gender**  Male  Female  T-Transgender **Marital Status**  Single  Married  Others

**Date of Birth**  -  -  **Nationality**  Indian  Others *PL. SPECIFY*

**Status**  Resident Individual  Non Resident  Foreign National

**PAN**  **Aadhaar Number**

**Specify the proof of Identity submitted**  PAN Card  Any other *PL. SPECIFY*

**Photograph**  
Please affix your recent passport size photograph  
*Sign Across Photograph*

**B. ADDRESS DETAILS  Correspondence Address  Residence Address**

**Residence / Correspondence Address**

**Address** City/Town/Village  PIN Code   
State  Country

**Specify the proof of address submitted for Residence/ correspondence address**

**Contact Detail** Tel.(Office)  Tel. (Res.)  Mobile\*   
Fax  E-mail Id

**Permanent Address** (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)  
City/Town/Village  PIN Code   
State  Country

**\*NOTE:** This Mobile No. will be used for all communications pertaining to my Demat/Trading Account. All information sent and/or received on this mobile number will be binding upon me/us.

**C. 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.

**Signature of the Applicant**  *A1/27* **Date**  -  -

**FOR OFFICE USE ONLY**

Originals verified and Self - Attested Document copies received  
**Signature of the Authorised Signatory**  **Date**  -  -  **Seal/Stamp of the intermediary**

**IN-PERSON VERIFICATION (IPV)**

**Name of the Person doing IPV**  **Designation**   
**Name of Organization**  **Signature**   
**Date**  -  -

## KNOW YOUR CLIENT (KYC) APPLICATION FORM

### A. IMPORTANT POINTS

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

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

### C. Proof of Address (POA)

List of documents admissible as Proof of Address:

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary. public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/ document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

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

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

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

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

**PART-I KNOW YOUR CLIENT (KYC) APPLICATION FORM**

**SECOND HOLDER**

**ANNEXURE-J**

**FOR INDIVIDUAL**

**JUST TRADE SECURITIES LIMITED (MIID-P2148)**

Bajaj House 97, Nehru Place, New Delhi-110019  
Ph.: 011-41693000, 66161111 Fax : 011-66608888  
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**CIN - U67120DL1965PLC004338**

**For office use only** Application Type\*  New  Update  
(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)  
Account Type\*  Normal  Simplified (for low risk customers)  Small

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

**A. IDENTITY DETAILS Please fill this form in ENGLISH and in BLOCK LETTERS**

**Name of the Applicant**

**Father's/Husband's Name**

**Mother's Name**

**Gender**  Male  Female **Marital Status**  Single  Married  Others

**Date of Birth**  -  -  **Nationality**  Indian  Others **PL SPECIFY**

**Status**  Resident Individual  Non Resident  Foreign National

**PAN**  **Aadhaar Number**

**Specify the proof of Identity submitted**  PAN Card  Any other **PL SPECIFY**



**B. ADDRESS DETAILS Correspondence Address Residence Address**

**Residence / Correspondence Address**

**Address** City/Town/Village  PIN Code   
State  Country

**Specify the proof of address submitted for Residence/ correspondence address**

**Contact Detail** Tel.(Office)  Tel. (Res.)  Mobile\*   
Fax  E-mail Id

**Permanent Address** (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)  
City/Town/Village  PIN Code   
State  Country

\*NOTE: This Mobile No. will be used for all communications pertaining to my Demat/Trading Account. All information sent and/or received on this mobile number will be binding upon me/us.

**C. 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.

**Signature of the Applicant**  **Date**  -  -

**FOR OFFICE USE ONLY**

Originals verified and Self - Attested Document copies received  
**Signature of the Authorised Signatory**  **Date**  -  -  **Seal/Stamp of the intermediary**

**IN-PERSON VERIFICATION (IPV)**

**Name of the Person doing IPV**  **Designation**   
**Name of Organization**  **Signature**   
**Date**  -  -

**ACCOUNT OPENING FORM (FOR DEPOSITORY SERVICES)**
**ANNEXURE-J**

**BAJAJ CAPITAL LIMITED (MIID-PI34I)**
**NSDL DP ID : IN303237 | SEBI REGISTRATION NO - IN-DP-NSDL-267-2006**

Regd. Office: Mezzanine Floor, Bajaj House 97, Nehru Place, New Delhi-110019

Ph.: 011-41693000, 66161111 Fax : 011-66608888

E-mail: dp@bajajcapital.com Website: www.bajajcapital.com

 Date  -  - 
**CIN - U67120DLI965PLC004338**

 Client ID 

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

(To be filled by Participant)

**A. DETAILS OF ACCOUNT HOLDER(S)**
**Sole/First Holder**  PAN 
**Occupation**  Private Sector  Public Sector  Government Service  Business  Professional  Agriculturist  Retired  
 (Please tick any one and give brief details)  Housewife  Student  Others (Please specify) : \_\_\_\_\_

 Brief Details 
**Second Holder**  PAN 
**Occupation**  Private Sector  Public Sector  Government Service  Business  Professional  Agriculturist  Retired  
 (Please tick any one and give brief details)  Housewife  Student  Others (Please specify) : \_\_\_\_\_

 Brief Details 
**Third Holder**  PAN 
**Occupation**  Private Sector  Public Sector  Government Service  Business  Professional  Agriculturist  Retired  
 (Please tick any one and give brief details)  Housewife  Student  Others (Please specify) : \_\_\_\_\_

 Brief Details 
**B. For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:**

 Name  PAN 
**C. TYPE OF ACCOUNT**
 Ordinary Resident  NRI - Repatriable  NRI-Non Repatriable  Qualified Foreign Investor  Person of India Origin  
 Foreign National  Promoter  Margin  Others  PLEASE SPECIFY

**D. GROSS ANNUAL INCOME DETAILS**

Income Range per annum (please tick any one)

 Below ₹ 1 Lac  ₹ 1-5 Lac  ₹ 5- 10 Lac  ₹ 10-25 Lacs  More than ₹ 25 Lacs

**E. IN CASE OF NRIs/FOREIGN NATIONALS**

 RBI Approval Reference No.  RBI Approval Date  -  - 
**F. BANK DETAILS**

 Bank A/c Type  Saving Account  Current Account  Others  PLEASE SPECIFY Bank A/c No. 

 Bank Name 

 Branch Address 

 City/town/village  PIN Code 

 State  Country 

 MICR Code  IFSC

### G. PLEASE TICK, IF APPLICABLE

- Politically Exposed Person (PEP)       Related to Politically Exposed Person (PEP)

### H. STANDING INSTRUCTIONS

I/We authorise you to receive credits automatically into my/our account.       Yes       No

Account to be operated through Power of Attorney (PoA)       Yes       No

**SMS Alert facility:** [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]

**Sole/First Holder**     Yes     No    |    **Second Holder**     Yes     No    |    **Third Holder**     Yes     No

Mode of receiving Statement of Account & Rights       Physical Form

& Obligations [Tick any one]       Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].

### I. GUARDIAN DETAILS (where sole is a minor)

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

Guardian Name

PAN  Relationship of guardian with minor

### J. FORM FOR NOMINATION / CANCELLATION OF NOMINATION

(To be filled in by individual applying singly or jointly)

Date :

DP ID :

Client Id :


- I/We wish to make a nomination. [As per details given below]
- I/We wish to cancel the nomination made by me / us earlier and consequently all rights and liabilities in respect of beneficiary ownership in the securities held by me / us in the said account shall vest in me / us. [Strike off the nomination details below]

#### Nomination Details

I/We wish to make a nomination and do hereby nomination the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nomination(s) (Mr. Ms.)			
2.	Share of each Nominee Equally <input type="checkbox"/> If not equally, please specify percentage	%	%	%
Any add 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)  PIN Code:			
5.	Mobile / Telephone No. of nominee(s)			
6.	Email ID of Nominee(s)			
7.	Nominee Identification details - (Please tick any one of following and provider details of same)  <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 Identify <input type="checkbox"/> Demat Account ID			
	Nominee Signature			
Sr. Nos, 8-14 should be filled only if nominee(s) is a minor:				

8.	Date of Birth {In case of minor nominee(s)}		
9.	Name of Guardian (Mr. / Ms.) {In case of minor nominee(s)}		
10.	Address of Guardian(s)    PIN Code:		
11.	Mobile / Telephone No. of Guardian(s)		
12.	Email ID of Guardian(s)		
13.	Relationship of guardian of nominee(s)		
14.	Guardian Identification details - (Please tick any one of following and provider details of same)  <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 Identify <input type="checkbox"/> Demat Account ID		
	Guardian Signature		

	Name(s) of Holder(s)	Signature(s) of Holder
Sole/First Holder (Mr. / Ms.)		 A2/27
Second Holder (Mr. / Ms.)		<input checked="" type="checkbox"/> B2/11
Third Holder (Mr. / Ms.)		<input checked="" type="checkbox"/> C1/10
Name of the witness	Address	Signature of witness
		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"/>

## DECLARATION

The rules and regulations of the Depository and Depository Participants 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 misrepresenting, I am/ we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, “Rights and Obligations of the Beneficial Owner and Depository Participant”.

 A3/27  
Sole/First Holder/Guardian Signature with name

B3/11  
Second Holder Signature with name

C2/10  
Third Holder Signature with name

- Notes :
- All communication shall be sent at the address of the Sole/First holder only.
  - Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
  - For receiving statement of Account in electronic form:
    - Client must ensure the confidentiality of the password of the email account.
    - Client must promptly inform the Participant if the email address has changed.
    - 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.
  - Strike off whichever is not applicable.
  - All Nomination can be made only by individual holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate and partnership firms, 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.
  - 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.
  - 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.
  - 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.
  - Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
  - The cancellation of nomination can be made by individual only holding beneficiary owner and the Participant against the legal heir, the same persons who made the original nomination. Non-individual including society, trust body corporate and partnership firm, karta of Hindu undivided Family, holder of power attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
  - 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).
  - Nomination can be made three nominees in a demat account. In case of multiple nominee, 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.
  - On request of substitution of existing nominee by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM IO at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
  - 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.
  - Savings bank account details shall only be considered if the account is maintained with the same depository participant.
  - DP ID and Client ID shall be Provided where demat details is required to be provided. (refer point no.7- Nominee Identification details)

## RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

### General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "nocharges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

### Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

### Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

### **Manner of Closure of Demat account**

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

### **Default in payment of charges**

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

### **Liability of the Depository**

21. As per Section 16 of Depositories Act, 1996,
  1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
  2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

### **Freezing/ Defreezing of accounts**

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

### **Redressal of Investor grievance**

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

### **Authorized representative**

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

### **Law and Jurisdiction**

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI.
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



**SCHEDULE A - SCHEDULE OF CHARGES FOR DP SERVICES**

PARTICULARS	SCHEME
<b>Account Maintenance Charge</b>	<b>FOR REGULAR CLIENTS:</b> i) For Individuals - Rs 500 p.a. ii) For Corporate - Rs. 1200 p.a. <b>FOR BSDA CLIENTS:-</b> i) Value of Holding up to Rs. 50,000 - NIL. ii) Value of holding from Rs. 50,001 to Rs. 2,00,000/- - Rs. 100 iii) If any point of time the value of holding is above Rs. 2,00,000/- Tariff as per Regular Client Would apply.
<b>Demat Charges</b>	Rs. 3 per certificate or Rs. 50/- per request, whichever is higher. A fee of Rs. 25/- in case of Conversion of MF units represented by Statement of Account (SOS) into Dematerialized form .
<b>Remat / Reconversion Charges</b>	A fee of Rs. 25/- for every hundred securities or part thereof subject to maximum fee of Rs. 500000/- or flat fee of Rs. 25/- per certificate, whichever is higher. A fee of Rs. 25/- per Reconversion Request of MF units into SOA.
<b>Transaction (Debit) Including Mutual Fund</b>	<b>FOR REGULAR CLIENTS:-</b> A flat fee of Rs. 20 per instruction in case delivery given to JTSL. In all other cases, a fee of Rs. 25 per instruction or 0.02% of the value of securities whichever is higher. <b>FOR BSDA CLIENT:-</b> A flat fee of Rs. 30 per instruction in case delivery given to JTSL. In all other cases, a fee of Rs. 35 per instruction or 0.02% of the value of securities whichever is higher.
<b>Pledge Creation/ Confirmation / Closure / Closure Confirmation / Invocation Charge</b>	Rs. 50/- per instruction or 0.02% of the value of securities, whichever is higher.
<b>Demat Rejection Charges</b>	Rs. 30/- per request
<b>DIS Booklet Charges</b>	Rs. 50/- per booklet.
<b>Speed-e facility</b>	Rs. 350/- per annum
<b>Failed instruction charges</b>	Rs. 25/- per instruction
<b>Charges for physical Statement/document</b>	Rs. 15/- per statement
<b>Other charges, if any</b>	Redemption / Repurchase of Mutual Fund: Rs. 20/- per instruction***** Multiple instruction of mutual Fund Redemption/ Repurchase in the same form shall be treated as Separate instruction.

**Notes :**

- GST, as applicable, would be levied.
- DIS Booklet charges as mentioned above is inclusive of courier charges. For all other communication, courier charge will be applicable in addition.
- Any other service, which is not mentioned above, will be charged separately as per the rates applicable from time to time. Out of pocket expenses including overseas consignment will be charged on actual basis.
- DP Charges of Clients having trading account with Just Trade Securities Ltd. will be debited to their respective trading account in due basis.
- The value of transactions will be in accordance with rates provided by NSDL.
- All charges are payable on due basis and delayed payment will be liable for interest @ 2% p.m.
- All Charges are subject to revision at the discretion of BCL after giving notice of 30 days.
- BCL may stop processing the client instruction in the demat account on non-payment of outstanding bills.

 A4/27

Sole/First Holder Signature

 B4/11

Second Holder Signature

 C3/10

Third Holder Signature

**AUTHORISATION FOR PROVIDING DP TRANSACTION STATEMENT BY EMAIL OR ON WEBSITE**

To,  
**Bajaj Capital Limited**  
 Mezzanine Floor, Bajaj House 97, Nehru Place, New Delhi-110019

Dear Sir,

Please provide me/us transaction/holding statements including Statement of accounts.

- I/we understand that, I/we have the option to receive transaction statement by email or on website. in pursuance of the same, I/We hereby opt for receipt of transaction statement (including but not limited to statement of account holding statement or any other communication) through email  or on website.
- I/we is/are aware that I/we will not receive the transaction statement in paper form.
- I/we will take all the necessary means to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- I/we, is/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secretcy of the login name and password is compromised, in which case. I/we shall not hold you responsible in any manner.
- I/we shall immediately inform the DP about change in email address if any, in case transaction statement are send by email.
- I/we/you shall have the right to terminate this service by giving a 10 days written notice in advance.

Thanking you,

Yours faithfully

A5/27	B5/11	C4/10
Sole/First Holder Signature	Second Holder Signature	Third Holder Signature
Place <input type="text"/>	Date <input type="text"/>	

**ACKNOWLEDGEMENT**

To, Date   
**Bajaj Capital Limited**  
 Mezzanine Floor, Bajaj House 97, Nehru Place, New Delhi-110019

With reference to my / our application for opening a depository account, I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

	Name	Signature(s) of Account Holder(s)
<b>Sole/First Holder</b>		A6/27
<b>Second Holder</b>		B6/10
<b>Third Holder</b>		C5/10

For any grievance/dispute contact Bajaj Capital Limited at the above address or email id-dp@bajajcapital.com and Phone No. 1800-3000-9000 (All users), 1800-110-900 (BSNL). In case not satisfied with the response, please contact NDSL at-

<b>Website</b> www.nSDL.co.in	<b>Email ID</b> relations@nSDL.co.in	<b>Contact No.</b> 022-24994200
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**ACKNOWLEDGEMENT**

We have received your request for Nomination Registration:

Date :

DP ID :

Client Id :

Demat Account Holder's Name

Received by

Bank Official Signature  Branch  SR No.

**DECLARATION FOR EMAIL ID/MOBILE NUMBER**

I/we hereby request you to send all your communications pertaining to my Depository/Trading Account including the verification call on the below mentioned Mobile Number/Email Id:-

	Email ID	Mobile No.	Email/Mobile is registered in the name of (tick whichever is applicable)			
			Self	Spouse	Dependent Child	Dependent Parent
First Holder			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Second Holder			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Third Holder			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I/we confirm that the Mobile No is registered in the name of .....and the email Id is also registered in the name of .....

All information sent and/or received on the abovementioned email Id/mobile number is binding upon me/us.

I/we understand the risk associated with the same and shall be liable for all losses/damages and actions that may arise as a consequence of your adhering to and carrying out my/our directions.

I/we am/are also aware that the depositories/exchanges are also giving the transaction/trade details directly to the clients via SMS and email alerts which they have carried out through their respective Depository/Trading member.

A13/27  
**Sole/First Holder Signature**

B7/11  
**Second Holder Signature**

C6/10  
**Third Holder Signature**

**DECLARATION FOR NOT HAVING EMAIL ID / MOBILE NUMBER**

I/We understand that as per the provisions of SEBI/FMC/Exchanges, the trading member is required to update the mobile number and e-mail IDs of their clients to the Exchanges.

However, I declare that (strike out whichever is not applicable) :-

- At present I do not have and/or am not using any mobile number.
- At present I do not have and am not using any E-Mail ID.

I also undertake to provide the above details in writing to the Broker as soon as I have or will be using the same.

Since my Broker is required to submit the above details with exchanges and / or regulator they may provide the following:-

Mobile Number : 6666666666

Email Id : notprovided@notprovided.com

A14/27  
**Sole/First Holder Signature**

B8/11  
**Second Holder Signature**

C7/10  
**Third Holder Signature**

**FATCA-CRS Declaration & Supplementary KYC Information**
**FATCA & CRS DECLARATION (FOR INDIVIDUAL)**

Do you have any non-Indian country (ies) of Birth/Citizenship/Nationality and Tax Residency?

Sole/First Holder/Guardian <input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
Country of Birth	Country of Birth	Country of Birth
Country of Citizenship/	Country of Citizenship/	Country of Citizenship/
Are you a US Specified Person? <input type="checkbox"/> Yes <input type="checkbox"/> No Please Provide Tax Payer	Are you a US Specified Person? <input type="checkbox"/> Yes <input type="checkbox"/> No Please Provide Tax Payer	Are you a US Specified Person? <input type="checkbox"/> Yes <input type="checkbox"/> No Please Provide Tax Payer
Country of Tax Residency* (Other than India) Taxpayer Identification No.	Country of Tax Residency* (Other than India) Taxpayer Identification No.	Country of Tax Residency* (Other than India) Taxpayer Identification No.
1.	1.	1.
2.	2.	2.
Address	Address	Address
Gross Annual Income <input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 1-5 Lakh <input type="checkbox"/> 5-10 Lakh <input type="checkbox"/> 10-25 Lakh <input type="checkbox"/> 25 Lakh-1 Crore <input type="checkbox"/> More than 1 Crore	Gross Annual Income <input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 1-5 Lakh <input type="checkbox"/> 5-10 Lakh <input type="checkbox"/> 10-25 Lakh <input type="checkbox"/> 25 Lakh-1 Crore <input type="checkbox"/> More than 1 Crore	Gross Annual Income <input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 1-5 Lakh <input type="checkbox"/> 5-10 Lakh <input type="checkbox"/> 10-25 Lakh <input type="checkbox"/> 25 Lakh-1 Crore <input type="checkbox"/> More than 1 Crore
Net Worth (Optional) INR _____ _____ Lakh Net Worth as of	Net Worth (Optional) INR _____ _____ Lakh Net Worth as of	Net Worth (Optional) INR _____ _____ Lakh Net Worth as of

\*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

**FATCA & CRS Terms and Conditions**

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules required Indian financial institutions such as the Ban 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 (Insert FI's name) 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.

**Declaration:** I hereby confirm that the information provided herein above is true, correct, and complete to the best of my knowledge and belief and that I shall be responsible to the reporting agency which relies on this information for compliance with FATCA and CRS. I also confirm that I have read and understand that FATCA & CRS Terms and conditions below and hereby accept the same. I also undertake to keep you informed in writing about any changes/modifications to the above information in future and also undertake to provide any additional information as may be required by you from time to time. I further agree to abide by the provisions contained in this form inter alia provisions of FATCA & CRS.

A27/27

Sole/First Holder Signature

Date  -  -

B11/11

Second Holder Signature

C10/10

Third Holder Signature