

**COMMON ACCOUNT OPENING FORM
ONLINE MUTUAL FUND & IPO
STOCK TRADING SERVICES
DEPOSITORY SERVICES**

For Individuals / HUF

FOR OFFICE USE ONLY

REGISTRATION STAMP	CODE Client Code/ID-Equity	REMARKS
	Client Code/ID-Depository	

	Name	Employee ID	Signature
Verified by			
Authorised by			
Punched by 1. Trading Account			
2. Depository Account			

FOR OFFICE USE ONLY

Facilities Applied for	<input type="checkbox"/> Equities (Cash and F&O) <input type="checkbox"/> Online IPO & Mutual Fund
Trading Account Type	<input type="checkbox"/> Just Lite <input type="checkbox"/> Just Active <input type="checkbox"/> Just Pro <input type="checkbox"/> Just NRI



always acting in your interest (%)

COMMON INFORMATION PERTAINING TO CLIENT

(For Online MF)

Existing relationship with Bajaj Capital <input type="checkbox"/> Yes <input type="checkbox"/> No Branch : Client Code No:	FOR OFFICE USE ONLY Trading ID : DP Beneficiary ID :
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1. STATUS (of First/Sole Applicant) (Please tick (✓))	MODE OF HOLDING (Please tick (✓))	OCCUPATION (of First/Sole Applicant) (Please tick (✓))
<input type="checkbox"/> Individual <input type="checkbox"/> Minor through guardian <input type="checkbox"/> NRI (please specify)	<input type="checkbox"/> Single <input type="checkbox"/> Joint <input type="checkbox"/> Anyone or Survivor	<input type="checkbox"/> Service <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculture <input type="checkbox"/> Others _____ (please specify)

2. SOLE APPLICANT INFORMATION			DATE OF BIRTH
NAME OF FIRST / SOLE APPLICANT <input type="checkbox"/> Resident <input type="checkbox"/> NRI (Mandatory Please tick (✓))			M A N D A T O R Y
Mr./Ms./M/s		D D M M Y Y Y Y	
Nationality	Mother's Maiden Name M A N D A T O R Y		
Father's Name/Husband's Name			
PAN* (mandatory)	ENCLOSED	KYC COMPLIANCE STATUS [Please tick (✓)]	
<input type="checkbox"/> PAN Proof <input type="checkbox"/> Form 60 <input type="checkbox"/> Form 61		<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, proof enclosed <input type="checkbox"/>	
Annual Income [Please tick (✓)]	<input type="checkbox"/> 1 Lac	<input type="checkbox"/> 1-5 Lac	<input type="checkbox"/> 5-10 Lac
	<input type="checkbox"/> 10-25 Lac	<input type="checkbox"/> 25 Lac and above	
Prior Investment Exp. [Please tick (✓)]	<input type="checkbox"/> 1 Year	<input type="checkbox"/> 2 Year	<input type="checkbox"/> 3 Year
	<input type="checkbox"/> 4 Year	<input type="checkbox"/> More than 4 Year	
NAME OF GUARDIAN (In case of First / Sole Applicant is a Minor) / CONTACT PERSON - DESIGNATION (in case of non-individual Applicant)			
Mr./Ms.		D D M M Y Y Y Y	
Nationality			
PAN* (mandatory)	ENCLOSED	KYC COMPLIANCE STATUS [Please tick (✓)]	
<input type="checkbox"/> PAN Proof <input type="checkbox"/> Form 60 <input type="checkbox"/> Form 61		<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, proof enclosed <input type="checkbox"/>	
	MANDATORY		DATE OF BIRTH
NAME OF THE SECOND APPLICANT <input type="checkbox"/> Resident <input type="checkbox"/> NRI [Mandatory Please tick (✓)]	Nationality		
Mr./Ms.		D D M M Y Y Y Y	
PAN* (mandatory)	ENCLOSED	KYC COMPLIANCE STATUS [Please tick (✓)]	
<input type="checkbox"/> PAN Proof <input type="checkbox"/> Form 60 <input type="checkbox"/> Form 61		<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, proof enclosed <input type="checkbox"/>	
	MANDATORY		DATE OF BIRTH
NAME OF THE THIRD APPLICANT <input type="checkbox"/> Resident <input type="checkbox"/> NRI [Mandatory Please tick (✓)]	Nationality		
Mr./Ms.		D D M M Y Y Y Y	
PAN* (mandatory)	ENCLOSED	KYC COMPLIANCE STATUS [Please tick (✓)]	
<input type="checkbox"/> PAN Proof <input type="checkbox"/> Form 60 <input type="checkbox"/> Form 61		<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, proof enclosed <input type="checkbox"/>	
MAILING ADDRESS OF FIRST / SOLE APPLICANT (P.O. Box. Address may not be sufficient) Proof of Address Mandatory			
CITY	STATE	PIN CODE	
OVERSEAS ADDRESS (In case of NRIs/FIIS) (P.O. Box Address may not be sufficient)			
CONTACT DETAILS OF FIRST / SOLE APPLICANT			
		STD Code	
Telephone : Off	Mobile		M A N D A T O R Y
Fax	E-mail M A N D A T O R Y		

3. BANK ACCOUNT DETAILS. Please note that it is mandatory for applicant to provide their bank account details				
Name of the Bank			Branch	
Account No.			Bank City	
Account Type [Please tick (✓)]	<input type="checkbox"/> SAVINGS	<input type="checkbox"/> CURRENT	<input type="checkbox"/> NRE	<input type="checkbox"/> NRO
	<input type="checkbox"/> FCNR			
MICR DETAILS	The 9 digit MICR Code number of my/our Bank & Branch is :			(The 9 digit Code appears on your cheque next to the cheque number)
MODE OF ACCOUNT HOLDING	<input type="checkbox"/> SINGLE <input type="checkbox"/> JOINT (Please refer Note overleaf*)			
4. TELE COMMUNICATION SERVICE		I/We wish to receive the following documents and latest information on various financial products		
		<input type="checkbox"/> Account Statement	<input type="checkbox"/> Newsletter	<input type="checkbox"/> Annual Report
		<input type="checkbox"/> Other Information		

5. NOMINATION

I/We do hereby nominate the person more particularly described hereunder to receive the amount to my / our credit in event of my / our death.

NOMINEE DETAILS

Name :	_____	The Nominee is a minor	
Address :	_____	whose guardian is :	_____
	_____	Address of the Guardian :	_____
Date of Birth :	_____		
	(to be furnished in case the nominee is a minor)	Signature of the Guardian	_____
Relationship :	_____	(to be deleted if not applicable) :	_____

Note : The Nomination shall supercede previous nomination, if any

6. DOCUMENTS ENCLOSED

Non Individuals

Individuals

<input type="checkbox"/> Memorandum & Articles of Association	<input type="checkbox"/> Copy of PAN Card
<input type="checkbox"/> Trust Deed <input type="checkbox"/> Bye-Laws <input type="checkbox"/> Partnership Deed	<input type="checkbox"/> Proof of Address
<input type="checkbox"/> Resolution / Authorisation to invest	<input type="checkbox"/> Power fo Attorney
<input type="checkbox"/> List of Authorised Signatories with Specimen Signature	
<input type="checkbox"/> Power of Attorney	

7. DECLARATION

I/We, the above named Applicant would like to be registered with Bajaj Capital Group. As an existing client/new client of Bajaj Capital Group, I would like to receive latest information on mutual fund schemes, fixed deposits, Government of India Bonds, RBI Bonds, Insurance Plans, various stocks and other investment options. As an existing client/new client of Bajaj Capital, I hereby give my consent to Bajaj Capital, its employees, officers, representatives, agents to contact me through any telecommunication services, e-mail etc., to provide me on the latest information on various financial/investment products. The information furnished by I/We in the registration form is correct, complete and truly stated. W/We are authorised to make investment in securities and the amount(s) to be invested is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any applicable act, rules and regulation issued by any regulatory authority in India.
* Note: The "Mode of Holding" option selected by you in the form (top of the form) shall be at your sole discretion. Any investment/transaction through us, the units will be allotted in the mode opted by you. We (BCL), the AMC/MF/Registrar/Online Platform Provider, shall not be liable in any manner whatsoever in this regard.

Applicable to NRIs only :

I/We confirm that I am I/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for investment in securities shall be remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account.
(Please tick (✓)) Yes No
If yes, Repatriation basis Non-repatriation basis

Please affix recent passport size color photo

Please affix recent passport size color photo

Please affix recent passport size color photo

SIGNATURE / S

A1/30
Sole/First Holder Signature

B1/11
Second Holder Signature

C1/10
Third Holder Signature

DD MM YYYY

DD MM YYYY

DD MM YYYY

FOR OFFICE USE ONLY Y

Introducer's Name & Code : _____
Branch : _____ **City :** _____

(Signature of the Introducer)
I confirm that the above information has been completed by the applicant

POWER OF ATTORNEY

VOLUNTARY

[To be executed on Stamp Paper of appropriate value]

[In case of person intending to avail Online Mutual Fund Transaction through the Website/Online Platform]

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/We

- 1) s/o/d/o/w/o (strike off whichever is not applicable) Shri.....
 2) s/o/d/o/w/o (strike off whichever is not applicable) Shri.....and
 3) s/o/d/o/w/o (strike off whichever is not applicable) Shri.....

Having residence / registered office/office at

.....(residence address for proprietorship and partnership (to be executed by the Partners as Partnership firm cannot enter into a contract) and HUF (Karta of HUF can give a POA only if he is so authorized by the members of the HUF as. it affects their rights) and registered office for Companies, trusts and societies) hereinafter referred to as "the Client/Customer" which expression shall, unless it be repugnant to the meaning or context thereof, be deemed to mean and include my /our heirs, executors, administrators, the partners of the firm and the survivors of them and the heirs, executors and administrators of the partners, permitted assigns, successors in title, trustees of a Trust and their successors, member of the governing body and any new member elected appointed or co-opted as the case may be), DO SEND GREETINGS:

WHEREAS

- A Bajaj Capital Limited, is a company incorporated under the Companies Act, 1956 and having its registered office at Mezzanine Floor, Bajaj House 97, Nehru Place, New Delhi-110019 (hereinafter referred to as "BCL") has mandated M/s Bajaj Capital Investor Services Limited (referred to as "Online Platform Provider") to extend/ offer its web based facility/Website/online platform i.e www.justtrade.in to the Client/Customer (existing and/or prospective) of BCL, so as to facilitate the Clients/Customers of BCL to use the web based facility/Website/online platform for trading/investment in securities and the said mandate has been duly accepted by the Online Platform Provider.
- B The Online Platform Provider shall act as an executor of transaction and aggregator of funds/money (including but not limited to providing other online services) of BCL's clients/customers and shall transmit the same to the Bank account of the AMC to which the Client has no objection.
- C The Client/Customer is registered /is registering/ desires to register with BCL as its Client/Customer and upon successfully completing all the required formalities under the KYC guidelines in force or which may be in force from time to time, the Client/ Customer shall be issued the requisite user id and password by the Online Platform Provider for transacting through the Website/online platform; and
- D The Client/Customer wants to use the said web facility/Website/ online platform so as to transact in various securities in a seamless manner; and
- E The Client/Customer is using/ wants to use the Website/ web based facilities including but not limited to, online applications for Mutual Funds and other such applications, dealing facilities in securities and proper dealing through such internet/ web based facilities including but not limited to signing & depositing the Mutual Fund applications etc., making available connectivity/linkage to bank & depository account(s) to facilitate his/her/its dealings, making pay-in of funds/securities, facilitating any other such act(s) as may be required or are deemed necessary from time to time.
- F The Client/Customer wants to execute an appropriate Power of Attorney for all dealings in securities, investments, bank operations through BCL or

otherwise and done/executed using on-line or off-line or web based/Website or any other type of order entry so as to meet the above objectives including objectives incidental to above.

NOW KNOW YE ALL MEN AND THESE PRESENTS WIT NESSETH that I/ We the Client/Customer do hereby nominate constitute and appoint the said Bajaj Capital Limited (BCL) as our true and lawful Attorney/s for me/us and in my/our name on my/our behalf, and at my/our cost and expense to do and/or cause to be done the following acts, deeds or things:

1. To subscribe to and/or redeem units of mutual funds and to subscribe to and/or redeem units of any other financial products/ Securities offered. through the Website www.justtrade.in on my/ our behalf and authorize/instruct the Online Platform Provider to carry out the above. The term 'Securities' shall include securities as defined by the Securities Contracts (Regulation) Act, 1956 as amended from time to time.
2. To receive statements and other documents pertaining to the above units/securities and to acknowledge receipt of the same.
3. To sign all such application forms, redemption requests and other documents / deeds and to do all such acts as may be required for all or any of the above purposes.
4. To correspond with and give notice to the corresponding asset management company/mutual fund/issuer/registrar and transfer agent of securities including giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated.
5. To do or omit to do all such acts and things as the company may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder.
6. To comply with any laws, order rules, regulations or directions of any government or regulatory or other authorities.
7. To exercise and /or renounce any & / or all rights or options associated with the ownership/ holding of said Securities, units of mutual Funds, units of collective investment schemes etc. including but not limited to the right to attend or appoint proxy/proxies for the purpose of representing me/us at any

 A2/30

Sole/First Holder Signature

 B2/11

Second Holder Signature

 C2/10

Third Holder Signature




meeting or meetings of any unit holders or holders of any other securities; right to demand/ collect/receive/deposit and give good effectual receipt(s) & /or discharge for any or all of the interest /dividend/ bonus/ debts/ sum(s)/ principal & /or income or any other dues by whatever name called arising in respect of the securities or otherwise and to issue necessary mandates in respect of the Securities and to sign, negotiate & /or endorse any or all dividend interest warrants or certificates or any other instruments from time to time and also the rights to switch over so such other rights as may be offered by entities issuing/offering securities, including companies & mutual funds.

8. To pay/receive funds, to give &/or change existing bank mandates, to open &/or operate bank account(s) and for such purpose to communicate, negotiate, sign, execute or endorse all applications, forms, papers, documents, instructions including but not limited to closure of the accounts, as may required for any purpose what so ever by the virtues of these present; and to make draw, sign, endorse, negotiate, accept and release as the case may be cheques, drafts or other instruments, for transfer / withdrawal/payment or money whether debit or credit in my/our account(s) with the Attorney;
9. To appoint legal counsel &/or other representatives and agent(s) substitute(s) with all or any of the powers set out in these presents in order to

enable any/all of these to carry out/exercise all or any of the functions/powers given by me/us to the said Attorney and to revoke any such appointment;

10. To incur and pay all charges and expenses in connection with all or any of the aforesaid matters;
11. And to generally to do, perform and execute all such other acts, deeds, instruments, matters and things for and on my/our behalf as the said Attorney may think fit in respect of the above matters as fully and effectually and to all intents and purposes as I/We myself/ ourselves could do if I/We were personally present AND for the further, better and more effectually doing, effecting, executing and performing the several matters and things aforesaid.
12. The client may by giving a written notice exercise the option of revoking this Power of Attorney.
13. This document shall be subject to the exclusive jurisdiction of the Courts in Delhi alone.

I/We do hereby undertake to ratify whatever the said Attorney or their/it agent(s), representatives, employees or any substitute(s) may lawfully do in and by virtue of these presents.

1. Name : (1st Holder)	<input type="text"/>
Signature	 A3/30
2. Name : (2nd Holder)	<input type="text"/>
Signature	 B3/11
3. Name : (3rd Holder)	<input type="text"/>
Signature	 C3/10

Bajaj Capital Ltd. - Official - Name and Signature

Name

Signature

Please go through the relevant terms & conditons of agreement, offer documents and risk disclosure documents carefully

1st Witness

2nd Witness

Name

Signature

Address

PIN Code

Place Date - -

Name

Signature

Address

PIN Code

Place Date - -

Attestation by Notary Public:

The foregoing instrument was executed before me on this.....day of.....20.....

PART-I KNOW YOUR CLIENT (KYC) APPLICATION FORM

ANNEXURE-J

Name of Market Intermediary (MI)

BAJAJ CAPITAL LIMITED (MIID-PI341)

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

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

Exclusive E-mail Id for Redressal of Investor grievance : dp@bajajcapital.com

NSDL DP ID : IN303237

Please fill this form in ENGLISH and in BLOCK LETTERS

FOR INDIVIDUAL
(First Applicant)

Photograph

Please affix your recent passport size photograph

Sign Across Photograph

A. IDENTITY DETAILS

Name of the Applicant _____

Father's/Husband's Name _____

Gender Male Female **Marital Status** Single Married

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

Status Resident Individual Non Resident Foreign National

PAN _____ **Unique Identification Number (UID)/ Aadhaar, if any** _____

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

B. ADDRESS DETAILS

Correspondence Address _____

City/Town/Village _____ **PIN Code** _____

State _____ **Country** _____

Specify the proof of address submitted for 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** _____

Specify the proof of address submitted for permanent address _____

C. OTHER DETAILS

Gross Annual Income Details (please specify):

Income Range per annum Below ₹ 1 Lac ₹ 1-5 Lac ₹ 5- 10 Lac ₹ 10-25 Lacs More than ₹ 25 Lacs

OR Net-worth as on ____ - ____ - ____ (Net worth should not be older than 1 year)

Occupation (please tick any one and give brief details) Private Sector Public Sector Government Service Business Professional

Agriculturist Retired Housewife Student Others _____

Please tick, If applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information _____

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  A4/30 **Date** ____ - ____ - ____

FOR OFFICE USE ONLY

(Originals verified) True copies of documents received (Self-Attested) Self Certified 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** _____

Signature of the Person doing IPV _____ **Name of Branch** _____

Place where IPV was done _____ **Employee Code** _____

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

ANNEXURE-J

Name of Market Intermediary (MI)

BAJAJ CAPITAL LIMITED (MIID-PI341)

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

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

Exclusive E-mail Id for Redressal of Investor grievance : dp@bajajcapital.com

NSDL DP ID : IN303237

Please fill this form in ENGLISH and in BLOCK LETTERS

FOR INDIVIDUAL
(Second Applicant)

Photograph

Please affix your recent passport size photograph

Sign Across Photograph

A. IDENTITY DETAILS

Name of the Applicant _____

Father's/Husband's Name _____

Gender Male Female **Marital Status** Single Married

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

Status Resident Individual Non Resident Foreign National

PAN _____ **Unique Identification Number (UID)/ Aadhaar, if any** _____

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

B. ADDRESS DETAILS

Correspondence Address _____

City/Town/Village _____ **PIN Code** _____

State _____ **Country** _____

Specify the proof of address submitted for 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** _____

Specify the proof of address submitted for permanent address _____

C. OTHER DETAILS

Gross Annual Income Details (please specify):

Income Range per annum Below ₹ 1 Lac ₹ 1-5 Lac ₹ 5- 10 Lac ₹ 10-25 Lacs More than ₹ 25 Lacs

OR Net-worth as on ____ - ____ - ____ (Net worth should not be older than 1 year)

Occupation (please tick any one and give brief details) Private Sector Public Sector Government Service Business Professional

Agriculturist Retired Housewife Student Others _____

Please tick, If applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information _____

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 B4/11 _____ **Date** ____ - ____ - ____

FOR OFFICE USE ONLY

(Originals verified) True copies of documents received (Self-Attested) Self Certified 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** _____

Signature of the Person doing IPV _____ **Name of Branch** _____

Place where IPV was done _____ **Employee Code** _____

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-II ACCOUNT OPENING FORM (FOR INDIVIDUAL)

ANNEXURE-J



Bajaj Capital Limited

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

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

Exclusive E-mail Id for Redressal of Investor grievance : dp@bajajcapital.com

NSDL DP ID : IN303237

Date - -

Client ID

I/We request you to open a Depository Account in my/our name as per the following details :
(To be filled by the Applicant in **BLOCK LETTER** in English)

(To be filled by Participant)

Type of Account

Ordinary Resident NRI - Repatriable NRI-Non Repatriable Qualified Foreign Investor

Foreign National Promoter Margin Others

DETAILS OF ACCOUNT HOLDER(S)

	Name	PAN
Sole/First Holder	<input type="text"/>	<input type="text"/>
Second Holder	<input type="text"/>	<input type="text"/>
Third Holder	<input type="text"/>	<input type="text"/>

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

In case of NRIs/Foreign Nationals

RBI Approval Reference No. RBI Approval Date - -

Bank Details

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

Bank Name

Branch Address

City/town/village PIN Code

State Country

MICR Code IFSC

Standing Instrucitons

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

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

NOMINATION OPTION

- I/We wish to make a nomination. [As per details given below]
- I/We do not wish to make a nomination. [Strike off the nomination details below]

Photograph
of nominee

Signature of nominee
across photograph

NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me / us in the said beneficiary owner account shall vest in the event of my / our death.

Name of the Nominee (Mr./Ms.) _____

Relationship with the Applicant (if any) _____

Address of Nominee _____

City/town/village _____ PIN Code _____

State _____ Country _____

Contact Details of Nominee Tel. (Office) _____ Tel. (Res) _____

Mobile _____ Fax _____

E-mail Id _____

Signature of nominee

To be filled-up (Sr. Nos 6-II only if nominee is a minor) :

Date of Birth (in case of minor nominee) ____ - ____ - ____

Name of Guardian _____

Address of Guardian _____

City/town/village _____ PIN Code _____

State _____ Country _____

Contact Details of Guardian Tel. (Office) _____ Tel. (Res) _____

Mobile _____ Fax _____

E-mail Id _____

Relationship of Guardian with nominee _____

Signature of Guardian _____

Relationship of Guardian with nominee

Photograph of
guardian (for
minor nominee)

Signature of guardian
across photograph

SIGNATURE OF TWO WITNESS

Name (1) _____

Name (2) _____

Address _____

Address _____

_____ PIN Code _____

_____ PIN Code _____

Signature _____ Date ____ - ____ - ____

Signature _____ Date ____ - ____ - ____

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.

A5/30

Sole/First Holder/Guardian Signature with name

B5/11

Second Holder Signature with name

C4/10

Third Holder Signature with name

INSTRUCTIONS RELATED TO NOMINATION

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.
- Instructions related to nomination, are as below:
 - 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, 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.
 - 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 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 shall be valid discharge by the depository and the Participant against the legal heir.
 - 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, 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.
 - 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.
4. Strike off whichever is not applicable.

AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE CM/BENEFICIAL OWNER SEEKING TO OPEN AN ACCOUNT WITH THE DEPOSITORY PARTICIPANT - INDIVIDUAL AND CORPORATE


This agreement made and entered into this..... day of between situated at.....
.....(hereinafter called “the client”) and Bajaj Capital Limited having registered office at Mezzanine Floor, Bajaj House 97, Nehru Place, New Delhi-110019 (hereinafter called “the Depository Participant”)

Witnesseth

WHEREAS the Client has furnished to the Depository Participant the duly filled in application form requesting therein to open an account with Depository Participant

NOW THEREFORE in consideration of the Depository Participant having agreed to open an account of the Client, both the parties to the agreement hereby covenant and agree as follows :

1. The Client shall pay such charges to Depository Participant for the purpose of opening and maintaining his account, for carrying out the instructions of the Client and for rendering such other services as may be agreed to from time to time between the Depository Participant and the client as set out in schedule A Depository Participant shall reserve the right to revise the charges by giving not less than thirty days notice in writing to the Client.
2. The Client shall have the right to get the securities which have been admitted on the Depository dematerialised in the form and manner laid down under the Bye Laws and Business Rules. The Depository Participant further undertakes that it shall not create or permit to subsist any mortgage, charge or other encumbrance over all or any of such securities submitted for dematerialisation except on the instructions of the Client.
3. The Depository Participant hereby undertakes that it shall maintain a separate account of its own securities held in dematerialised form with the Depository and shall not commingle the same with securities held in dematerialised form on behalf of the Client.
4. The Depository Participant undertakes that a transfer to and from the account of the Client shall be made only on the basis of an order, instruction, direction or mandate duly authorised by the Client and that the Depository Participant shall maintain adequate audit trail of such authorization.
5. The Depository Participant agrees that the Client may give standing instructions with regard to the crediting of securities in his account and Depository Participant shall act according to such instructions.
6. The Depository Participant undertakes to provide a transaction statement including statement of accounts, If any, to the Client at monthly intervals unless the Depository Participant and the Client have agreed for provision of such statements at shorter intervals. However, if there is no transaction in the account, then the Depository Participant shall provide such statement to the client at least once a quarter.
7. The Depository Participant shall have the right to terminate this agreement, for any reasons whatsoever, provided the Depository Participant has given a notice in writing of not less than thirty days to the Client as well as to the Depository. Similarly, the Client shall have the right to terminate this agreement and close his account held with the Depository Participant, provided no charges are payable by him to the Depository Participant. In such an event, the Client shall specify whether the balances in its account should be transferred to another account of the Client held with another Depository Participant or to rematerialise the security balances held. Based on the instructions of the Client, the Depository Participant shall initiate the procedure for transferring such security balances or rematerialise such security balances within a period of thirty days, as per the procedure laid down in the byelaws and Business Rules. Provided further, termination of this agreement shall not affect the rights, liabilities and obligations of either party and shall continue to bind the parties to their satisfactory completion.

 A6/30
Sole/First Holder Signature


 B6/11
Second Holder Signature


 C5/10
Third Holder Signature


8. On the failure of the Client to pay the charges as laid out in clause (I) of this agreement within a period of thirty days from the date of demand, Depository Participant shall terminate this agreement and close the account of the Client by requiring it to specify Whether the balances in its account are transferred to the account of the Client held with another Participant or is rematerialised in the manner specified in the bylaws and Business rules.
9. The Client further agrees that In the event of the Client committing a default in the payment of any of the amounts provided In clause (I) within a period of thirty days from the date of demand, without prejudice to the right of the Depository Participant may charge interest@not more than 24% p.a. or such other rate as may be specified by the Executive Committee from time to time for the period of such default. In case the client has failed to make the payment of any of the amount as provided in clause (I) of this agreement, the Depository Participant shall have the right to discontinue the Depository services till such time he makes the payment along with interest, if any, After giving two days notice to the Client.
10. The Depository Participant shall have a right to provide such information related to the Client's account as may be requested by NSDL from time to time.
11. The Client shall have the right to create a pledge of the securities held in the dematerialised form with the Depository Participant only in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules.
12. NSDL shall not be liable to the Client in any manner towards losses; liabilities and expenses arising from the claims of third parties and from taxes and other governmental charges in respect of securities credited to the Client's account.
13. The Client may exercise the right to freeze his account maintained with the Depository Participant so as to lock the securities held with Depository Participant in accordance with the procedures prescribed in the Bye Laws and Business Rules.
14. The Client may exercise the right to defreeze his account maintained with the Depository Participant in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules.
15. The Client shall notify the Depository Participant, within seven days, of any change in the details set out in the application form submitted to the Depository Participant at the time of opening the account or furnished to the Depository Participant from time to time.
16. The Depository Participant under takes to resolve all legitimate grievances of the Client against the Depository Participant within a period of thirty days.
17. The Depository Participant and the Client shall abide by the arbitration and conciliation procedure prescribed under the Byelaws of NSDL and that such procedure shall be applicable to any disputes between the Depository Participant and the Client.
18. The Depository Participant and Client further agree that all claims, differences and disputes, arising out of or in relation to dealings on the Depository including any transactions made subject to the Bye-Laws or Business Rules of the Depository or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions have been entered into or not, shall be subject to the exclusive jurisdiction of courts at Mumbai only.

IN WITNESS WHEREOF the client and Depository participant has caused these presents to be executed as of the day and year first above written.

Signed and delivered by Client

Sold/First Holder Signature  A7/30 _____

Second Holder Signature  B7/11 _____

Third Holder Signature  C6/10 _____

Signed and delivered by Participant

For **Bajaj Capital Limited**

Authorised Signatories

Place _____ Date ____ - ____ - ____

1st Witness

Signature _____

Name _____

Address _____

 _____ PIN Code _____

2st Witness

Signature _____

Name _____

Address _____

 _____ PIN Code _____

* Please stamp & Sign in case of HUF Account
 ** In case of Joint holding, all joint holders must sign.

SCHEDULE-A : SCHEDULE OF CHARGES FOR DP SERVICES

	Scheme I	Scheme II
Account Opening Charges	Nil	Nil
Account Maintenance Charges (Normal)	₹ 250/- p.a.	₹ 500/- p.a.
Speed-e A/c (Password users)	₹ 350/- p.a. (including NSDL charges ₹ 100p.a.)	₹ 500/- p.a.
Documentation Charges (including stamp paper charges)	₹ 50/-	₹ 50/-
Demat Charges (Per Cert)	₹ 2/-	₹ 2/-
Courier Charges	₹ 30/- per Request	₹ 30/- per Request
Demat Rejection Charges	₹ 30/- per Request	₹ 30/- per Request
Transaction Charges		
Sale		
Del. given to BCISL A/C	Flat ₹ 20/- only	Flat ₹ 15/- only
Del. given to any other A/C -	₹ 25/- per debit or .02% of the value of securities whichever is higher	₹ 20/- per debit or .02% of the value of securities whichever is higher
Buy	Nil	Nil
Pledge Creation/Closure /Invocation	₹ 50/- per request or 0.02% of the value of securities whichever is higher	₹ 50/- per request or 0.02% of the value of securities whichever is higher
Rematerialisation Per Cert.	₹ 20/- per request + Courier charges	₹ 20/- per request + Courier charges
Delivery Instruction Booklet	₹ 20/-	₹ 20/-
Failed Instruction Charges	₹ 10/-	₹ 10/-

TERMS & CONDITIONS

1. Clients will be required to pay ₹ 400/- upfront for each demat account which will be adjusted towards depository services charges. Client will be required to replenish the balance immediately when it falls below ₹ 200/-.
2. DP charges of broking clients will be debited to their trading accounts on transaction basis
3. 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 extra on actual basis.
4. Service Tax as applicable would be levied.
5. The value of transactions will be in accordance with rates provided by NSDL.
6. All charges are subject to revision at the discretion of BCL after giving notice of 30days.
7. All charges are payable on monthly basis and delayed payment will be liable for interest @2% p.m.
8. BCL may suspend/freeze the depository services of the account holder on non-payment of outstanding bills.

 A8/30

Sole/First Holder Signature

 B8/11

Second Holder Signature

 C7/10

Third Holder Signature

POWER OF ATTORNEY

VOLUNTARY

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/We

- 1) s/o/d/o/w/o (strike off whichever is not applicable) Shri.....
 2) s/o/d/o/w/o (strike off whichever is not applicable) Shri.....and
 3) s/o/d/o/w/o (strike off whichever is not applicable) Shrii.....

[details of all the three holders to be filled in case of joint holding] currently residing at.....
 (In case of Individual)

(hereinafter referred to as “the Client”, which expression shall, unless repugnant or inconsistent with the context or meaning thereof, mean and include their respective legal heirs, successors, executors and administrators) OR

We,Hindu Undivided Family (“HUF”) having our principal office at.....
 through the Karta, Mr., s/o
r/o.....(In case of HUF)

(hereinafter referred to as “the Client” which expression shall, unless repugnant or inconsistent with the context or meaning thereof, mean and include legal heirs, successors, executors and administrators) DO SEND GREETINGS:

WHEREAS

- (A) The Client is registered / is registering / desires to register with Stock Broking Division of Bajaj Capital Investor Services Limited, a company incorporated under the Companies Act, 1956 and having its registered office at Bajaj House 97, Nehru Place, New Delhi- 110019 (hereinafter referred to as “BCISL”/“Attorney”) as a client/ constituent for its stock broking services;
- (B) The Client has/have a Beneficial Ownership Account/DP Account (“DP Account”) with M/s Bajaj Capital Limited, a company incorporated under the provisions of the Companies Act, 1956 and having its registered office at Mezzanine Floor, 97 Bajaj House, Nehru Place, New Delhi – 110019 (acting as a Depository Participant (“DP”) of National Securities Depository Limited (“NSDL”), hereinafter referred to as “the DP” holds the Certificate of Registration issued by the Securities and Exchange Board of India (“SEBI”) for acting as DP of NSDL bearing DP Id: IN 303237) bearing account no/client id. _____ OR is in the process of opening a DP Account with the DP [strike off whichever is not applicable], upon successfully completing all the required formalities under the Know Your Customer (“KYC”) guidelines in force or which may be in force from time to time;
- (C) The Client wants that BCISL should consider the funds/securities in the demat account/ bank account of the Client as margin / collateral / security for any and all dealings, which as per records / opinion of BCISL are done/ to be done / expected to be done through /with BCISL;
- (D) The Client wants BCISL to transfer securities/funds to BCISL’s demat BO account/ BCISL’s bank account and / or any other BCISL related BO account / bank account for creating/maintaining collateral/ security/ margin in form of securities and/or funds;

- (E) The Client wants BCISL to make pay- in and pay-out of securities and funds (including pay-in / pay-out due to exercise of rights by BCISL over funds/ securities considered as margin/ collateral/ security) to the Stock Exchange/ Clearing Corporation/s/ Clearing House, as may be required from time to time; and
- (F) The Client wants to make investments in mutual funds, initial public offerings/ follow on public offerings, rights issue, fixed deposit(s), other investment products, money market instruments, etc. generally to invest in various avenues/ products and to redeem / liquidate any investments and wants BCISL to give effect to desires/ requirements of the Client to sign any documents and / or do any and all act(s), deeds, things as may be required or are deemed necessary by BCISL for these purposes from time to time.

NOW KNOW YE ALL MEN AND THESE PRESENTS

WITNESSETH that I/We the above named do hereby nominate, constitute and appoint the said BCISL/Attorney, as my/our true and lawful Attorney and for me/us/our and in my/our name, on my/our behalf, and at my/our cost and expenses, to do and / or cause to be done the following acts, deeds, things:-

- (I) 1. to operate my /our depository beneficial owner accounts (s) by inter-alia executing various instructions such as delivery instruction slip(s), pledge/pledge closure/ invocation instruction(s) and any other instruction(s) whether physical or electronic to/ relating to transfer, pledge/pledge closure/ invocation, dematerializing or rematerializing, freezing or unfreezing of account and / or securities and to sign any and all applications, forms, documents and papers as may be required from time to time in my/ our depository beneficial owner account(s); and/or
- 2. to operate my/our bank accounts (s) No. _____ by inter-alia executing various instructions such as cheques, transfer

 A10/30

Sole/First Holder Signature

 B10/11

Second Holder Signature

 C9/10

Third Holder Signature

instruction(s), marking of lien / release of lien and any other instruction(s), whether physical or electronic to/relating to transfer, freezing or unfreezing of account and to sign any and all applications, forms, documents and papers as may be required from time to time in my/our bank account(s); and/or


3. to appoint legal counsel & / or other representatives and agent(s) / substitute(s) with all or any of the powers set out in these presents in order to enable any / all of these to carry out / exercise all or any of the functions / powers given by me / us to the said Attorney and to revoke any such appointment; and/or
4. to incur and pay all charges and expenses in connection with all or any

of the aforesaid matters.

5. the Attorney shall use its best efforts in returning to the Client, the securities /funds (if any), received erroneously by it.
- II. It is an understanding that the Client shall have the option to revoke this Power of Attorney, at his/her/its discretion.
- III. This Power of Attorney shall be subject to the exclusive jurisdiction of the courts at New Delhi only.
- IV. I /We do hereby undertake to ratify whatever the said Attorney or their / its agent(s) or any substitute(s) may lawfully do in and by virtue of these presents.

BCISL Account Number where securities can be moved NSE Pool Account No. I0002099, CMBP ID-IN563809, BSE Pool Account No. I0192747, CMBP ID -IN664219

In Witness Whereof, I/We have executed this Power of Attorney on this day of, 20..... at.....

1. Name : (1st Holder)	<input type="text"/>
Signature	 A11/30
2. Name : (2nd Holder)	<input type="text"/>
Signature	<input checked="" type="checkbox"/> B11/11
3. Name : (3rd Holder)	<input type="text"/>
Signature	<input checked="" type="checkbox"/> C10/10

Bajaj Capital Investor Services Ltd. - Official - Name and Signature

Name

Signature

Designation

1st Witness

Name

Signature

Address

PIN Code

Place Date - -

2nd Witness

Name

Signature

Address

PIN Code

Place Date - -

Attestation by Notary Public:

The foregoing instrument was executed before me on this.....day of.....20.....

ACCOUNT OPENING KIT

(As per SEBI Circular No. CIR/MIRSD/16/2011 Dated 22nd August, 2011)

INDEX OF DOCUMENTS

ANNEXURE-I

S. No.	Name of Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & STOCK EXCHANGES			
1.	Account Opening Form (Annex. 2)	KYC form - Document captures the basic information about the constituent and an instruction/check list.	1 to 2
2.	Trading Account Related Account Details (Annex. 3)	Other Information specifically required to open the trading account.	3 to 5
3.	Tariff sheet /Product Note	Tariff Sheet / Product Note provides the detailed terms & conditions of charging subscription/rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	6
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
4.	Memorandum of Understanding	MOU is an agreement entered into by the client and member to bringout clearly the scope of services, responsibilities of client & member and other terms & Conditions to which both parties are bound.	7 to 16
5.	Running Account Authorisation	Authorisation to Member to maintain running account of the client.	17
6.	Authorisation For Electronic Contract Notes	Authorisation to Member to issue contracts notes to the client in digital form.	18
7.	Adjustment of Balances in Group Accounts	Authorisation to Member to adjust debit / credit balances among group accounts identified by the client.	18
8.	Authorisation Letter For Adjustment of Payin & Payout Obligations of Securities/contracts Across Exchanges	Authorisation to adjust Payin & Payout obligations of the client across NSE & BSE.	19
9.	Verbal Order Acceptance Authorisation	Authorisation to Member to accept & execute verbal orders given by the client.	19
10.	SMS Service Registration Form	Authorisation to Member to avail SMS Service for getting alerts, margin calls, research calls etc.	20
11.	Authorisation For Debiting Demat Account Operating Charges	Authorisation to Member to debit demat account operating charges from his/her trading account.	20
12.	Standing Instructions	Authorisation to Member to carryout operations as per the instructions given by the client in the document.	21
13.	BSE StAR MF	Authorisation to Member to invest in mutual funds through BSE.	21
14.	NSE - MFSS Facility	Authorisation to Member to invest in mutual funds through NSE.	22

Note : In addition to the above documents, following mandatory documents has also been provided to the client.

1. Rights & Obligations of stock brokers, sub-broekrs and clients (Annexure-4).
2. Risk Disclosure Document for capital markets & derivatives segments (Annexure-5).
3. Guidance Note - Do's and Don'ts for trading on the Exchange(s) for Investors (Annexure-6).
4. Document describing significant policies & procedure of the stock broker. (As per SEBI Circular No : MIRSD/SE/Cir-19/2009 Dated 3rd December, 2009)

All the above documents can also be downloaded from the member's website : www.justtrade.in



Bajaj Capital Investor Services Limited

SEBI REGN NO.:	DATE
NSE Cash-INB231269334	14 - 06 - 2006
NSE F&O-INF231269334	14 - 06 - 2006
BSE Cash-INB011269330	28 - 02 - 2011
BSE F&O-INF011269330	28 - 02 - 2011

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

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

Compliance Officer's Details

Name : Jaipal Singh Khurana Phone No. : +91-11-66161111

E-mail Id : compliance@justtrade.in

CEO's Details

Name : R. Vinesh Menon Phone No. : +91-11-66161111

E-mail Id : ceo@justtrade.in

For any grievance/dispute please contact Bajaj Capital Investor Services Limited at the above address or email id- **customerservice@justtrade.in** and Phone no. **1800-3000-9000 (All Users), 1800-110-900 (BSNL)**. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd.	ignse@nse.co.in	011-23344313 Toll Free : 1800 22 0051
Bombay Stock Exchange Ltd.	iscdelhi@bseindia.com	011-41510481

PART-I KNOW YOUR CLIENT (KYC) APPLICATION FORM
ANNEXURE-2

Name of Market Intermediary (MI) [To be filled in case of Trading only account]

BAJAJ CAPITAL INVESTOR SERVICES LIMITED (MIID-P2148)

Bajaj House 97, Nehru Place, New Delhi-110019

Ph.: 011-41693000, 66161111

Fax : 011-66608888

FOR INDIVIDUAL

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

Name of the Applicant _____
Father's/Husband's Name _____
Gender Male Female **Marital Status** Single Married
Date of Birth ____ - ____ - ____ **Nationality** Indian Others PL. SPECIFY _____
Status Resident Individual Non Resident Foreign National
PAN _____ Unique Identification Number (UID)/ Aadhaar, if any _____
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 _____
Address City/Town/Village _____ PIN Code _____
 State _____ Country _____
Specify the proof of address submitted for 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 _____
Specify the proof of address submitted for permanent address _____

C. OTHER DETAILS

Gross Annual Income Details (please specify):
 Income Range per annum Below ₹ 1 Lac ₹ 1-5 Lac ₹ 5- 10 Lac ₹ 10-25 Lacs More than ₹ 25 Lacs
OR Net-worth as on ____ - ____ - ____ (Net worth should not be older than 1 year)
Occupation (please tick any one and give brief details) Private Sector Public Sector Government Service Business Professional
 Agriculturist Retired Housewife Student Others _____
Please tick, If applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
Any Other Information _____

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  A12/30 **Date** ____ - ____ - ____

FOR OFFICE USE ONLY

(Originals verified) True copies of documents received (Self-Attested) Self Certified 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** _____
Signature of the Person doing IPV _____ **Name of Branch** _____
Place where IPV was done _____ **Employee Code** _____

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.

TRADING ACCOUNT RELATED DETAILS
ANNEXURE-3
FOR INDIVIDUALS & NON-INDIVIDUALS
A. BANK ACCOUNT(S) DETAILS

Bank Name (1)
Branch Address
 City/Town/Village PIN Code
 State Country
Bank Account No.
Account Type Saving Current Others - In case of NRI NRE NRO
MICR Number **IFSC Code**

Bank Name (2)
Branch Address
 City/Town/Village PIN Code
 State Country
Bank Account No.
Account Type Saving Current Others - In case of NRI NRE NRO
MICR Number **IFSC Code**

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name (1)
Depository Name NSDL DP ID BO ID
 CDSL DP ID BO ID
Beneficiary Name

Depository Participant Name (2)
Depository Name NSDL DP ID BO ID
 CDSL DP ID BO ID
Beneficiary Name

C. TRADING PREFERENCES

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

Exchanges	Segments	
NSE	Cash <input type="checkbox"/> A13/30	F&O <input type="checkbox"/> A14/30
	BSE	Cash <input type="checkbox"/> A15/30

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.

D. PAST ACTIONS

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

1. _____
 2. _____
 3. _____

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

◆ **If Client is dealing through the sub-broker, provide the following details:**

Sub-broker's Name _____ SEBI Regn. No. _____
 Registered Office Address _____
 City/Town/Village _____ PIN Code _____
 State _____ Country _____
 Phone _____ Fax _____ Website _____

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

Name of Stock Broker _____
 Name of Sub-broker (if any) _____
 Registered Office Address _____
 City/Town/Village _____ PIN Code _____
 State _____ Country _____
 Client Code _____ Exchange _____
 Details of disputes/dues pending from/to such stock broker/sub- broker _____

F. ADDITIONAL DETAILS

◆ Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) Physical Contract Note Electronic Contract Note
 Specify your Email id, if applicable _____
 ◆ Whether you wish to avail of the facility of internet trading/ wireless technology Yes No
 If yes, please tick the facility opted Internet trading Wireless Technology Both
 ◆ Number of years of Investment/Trading Experience _____ Years
 ◆ In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of Company Firm Others _____
 ◆ Any other information _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer _____
 Status of the Introducer Sub-broker Remisier Authorized Person Existing Client Others, please specify _____
 Address of Introducer _____
 City/Town/Village _____ PIN Code _____
 State _____ Country _____
 Phone No. _____
 Signature of the Introducer _____

H. NOMINATION DETAILS (for Individuals only)

I/We wish to nominate

I/We do not wish to nominate

Name of the Nominee

Relationship with the Nominee

PAN of Nominee Date of Birth of Nominee - -

Address of Nominee

City/Town/Village PIN Code

State Country

Phone No.

If Nominee is a minor, details of guardian

Name of Guardian

Address of Guardian

City/Town/Village PIN Code

State Country

Phone No.

Signature of Guardian

WITNESSES (Only applicable in case the account holder has made nomination)

Ist Witness

2nd Witness

Name

Signature

Address

PIN Code

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place  A17/30

Date - - Signature of Client/ (all) Authorized Signatory (ies)

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

Signature of the Authorised Signatory

Date - - Seal/Stamp of the stock broker

This Memorandum of Understanding (hereinafter referred to as MoU) is made and executed at..... this.....day of....., 20..... between M/s. Bajaj Capital Investor Services Limited, a body corporate, incorporated under the provisions of the Companies Act, 1956, and having its registered office at Bajaj House 97, Nehru Place, New Delhi-110019 (hereinafter called Broker) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its successors and assigns, as the case may be, of the one part;

AND

Mr./Ms.....

An Individual/a Sole Proprietary concern/a Partnership Firm/a HUF/a Body Corporate or any other legal entity registered/ incorporated under the provisions of the relevant act, whose particulars are given hereunder at the execution page (hereinafter called "the Client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/ the partners for the time being of the said firm, the survivor or survivors of them, the member or members for the time being of the Hindu Undivided Family (HUF) and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the other part;.

Broker and Client are referred to hereinafter individually as a Party and collectively as Parties.

Whereas:

- A. Client desirous of availing services/ facilities available with Broker had opened a trading account with the broker.
- B. The Client finds that it is necessary to enter into this MoU to bring out clearly the scope of services to be rendered by Broker and responsibilities of Client and Broker respectively.
- C. Broker and Client enter into this MoU to reduce to writing the understanding between Client and Broker agreeing to be bound by the terms and conditions as given hereunder in consideration of the mutual covenants contained herein and other good considerations sufficiency of which is hereby acknowledged by Broker as well as Client.

Now, in view of the foregoing

In this MoU, unless the context otherwise requires:

- a) Words denoting the singular number shall include the plural vice versa;

- b) The pronouns "he", "she", "it" and their cognate variations are used as inter changeable and should be interpreted in accordance with the context;
 - c) Words denoting a person shall include an individual, corporation, company, partnership, trust or other entity; provided however that clauses specifically applicable to a company or body corporate shall not apply to any other entity;
 - d) References to the word "include" or "including" shall be construed without limitation;
 - e) Reference to any party to this MoU or any other agreement or deed or other instrument shall include its successors or permitted assigns;
 - f) References to recitals and clauses shall be deemed to be a reference to the recitals and clauses of this MoU;
 - g) References to any enactment shall be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order, notification, circular or other provision made under it.
1. The Client assures Broker that he / she / it is eligible to enter into this MoU under the applicable laws. The Client shall continuously monitor his / her / its eligibility to act under the applicable laws including but not limited to Securities and Exchange Board of India (SEBI) Act and Regulations framed thereunder such as insider trading etc. Foreign Exchange Management Act (FEMA) and Regulations thereunder, Income Tax Act and any other act/law / rules and regulations in force. If at any time this assurance ceases to be applicable, Client shall refrain from dealing with Broker forthwith.
 2. The Client hereby acknowledges that he/she/it is aware that there exist certain regulations/ restrictions etc. under Foreign Exchange Management Act and / or issued by Reserve Bank of India (RBI) regarding investment by foreign entities/persons including non resident Indians (NRIs). The Client hereby agrees to be solely responsible to make investments only as per applicable limits/ regulations in force from time to time.
 3. The Client agrees to keep himself/ herself/ itself updated regarding the changes in the rules, regulations, bye laws of the stock exchange(s) & / or guidelines issued by SEBI and/or the requirements/ procedures of Broker. The Client agrees that he/she/it shall keep a track of any & all such changes by logging

- on to the respective websites of the exchange(s) NSE (www.nseindia.com) or BSE (www.bseindia.com) or SEBI (www.sebi.gov.in) or Bajaj Capital Investor Services Limited (www.justtrade.in).
4. The Client shall ensure that he/she/it shall not deal through Broker on the stock exchange of which he/she/it is registered as a broker or a sub broker through any broker other than Broker except with the permission of exchange.
 5. The Client agrees to ensure that he / she / it shall not act as a sub-broker / intermediary without getting registered under the provision of law in force.
 6. Client understands and agrees that the relationship being established between Broker and Client whether under the agreement(s) already entered between Broker and Client or under this MoU is that Client shall be the principal and Broker shall be an agent to Client in the capacity of a broker. The Client shall from time to time place orders verbally (himself or acting through attorney/ authorized person). The verbal orders can be placed over phone/ mobile phone and/or by visiting the branch to which the Client has been assigned/ attached by Broker. The order(s) shall be placed by Client only to designated / authorized dealer of Broker and to no one else. Client shall take the names of such designated / authorized dealers assigned to him in writing from Corporate Office of Broker. If Client gives orders to any person other than designated / authorized dealer(s) advised to Client in writing by the Corporate Office of Broker, then Broker shall in no way be responsible for any further liabilities created due to any acts of omission or commission in consequence of such order(s). The order(s) given by the Client shall, provided same are received within market hours, with details necessary to punch the same in trading system, subject to availability of margin and/or trading limits be punched in the trading system. The Client agrees that it shall be sole responsibility of the Client to ascertain the status / results / trade of any orders given by him / her / it. The Client also understands and agrees that the word “orders” includes the cancellation and modification orders as well.
 7. It is clearly understood and agreed to by Client that no service/ facility in the nature of portfolio management advisory services etc. are contemplated under the agreement(s) and MoU between the Client and Broker. No person working for or under Broker whether dealer, relationship manager, sub-broker or authorized person is permitted to provide any services/facilities except that of order placement in trading system (subject to limitations stated above) upon directions of Client. If the Client accepts any portfolio management services/advises/ discretionary trading arrangement / facility from any person including but not limited to dealer, relationship manager, sub-broker or authorized person then in that event Broker shall in no way be responsible for the outcome of such services / facilities accepted by Client,. and the relationship of Client with any person including with any dealer, relationship manager, sub-broker or authorized person shall be a personal, mutual and private relationship between the Client and such person(s) including dealer, relationship manager, sub-broker or authorized person and Client shall have no recourse/right against Broker what so ever either in law or equity.
 8. The Client shall transmit his/her/its orders to the Broker through the internet over the Broker’s website; or through telephone (as per the pre defined procedure of forwarding the order through a phone broking executive or in such other manner as the Broker may permit) or through any letter or other form of written or oral communication. If the Client is enabled to access the trading system of Broker directly say through internet then Client is authorized to place orders directly as well. The Client agrees that any communication of orders in any form or manner whatsoever to Broker or by entering orders into a facility provided by Broker such as internet etc. neither implies order’s(s)’ acceptance nor assures a trade from such order(s) and the Client is also aware that any deliveries of securities / payout of monies on account of trades is subject to settlement process being successful particularly for trades which are matched within the clients of Broker and the Client hereby agrees not to hold Broker responsible in any manner whatsoever for any delay in settlement which are beyond reasonable control of Broker.
 9. The Client agrees and acknowledges that Broker shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment and as such all investment and disinvestment decisions are based on the Client’s own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information that may be made available by Broker including that on the website/trading platform/through SMS etc. The Client will not hold nor seek to hold Broker or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses or other losses, costs or damage incurred by the Client consequent upon relying on information,

research opinions or advice or any other information whatsoever including that on the website whether put up by Broker or any other agency. The Broker does not represent and shall not be deemed to have represented, that the investment information is accurate or complete. The Client is aware that any information based on the research of Broker or other external sources is merely an estimation of the viability or otherwise of certain investments, and Broker shall not be deemed to have assumed any responsibility for such information. The Client should seek independent professional advice regarding the suitability of any investment decision. The Client also acknowledges that Broker's employees/ agents are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from Broker or any of its employees / agents.

10. The Client agrees and acknowledges that trading over telecom networks involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions, malfunctioning and dislocations etc. Broker does not make any representation or warranty about uninterrupted trading facility and as such, under no circumstances shall Broker or anyone involved in creating, producing, delivering or managing Broker's services be liable for any direct, incidental, special or consequential damages that may result from the use of or inability to use the service, delay in transmission of any communication, in any case for any reason whatsoever (including on account of breakdown in systems) or due to any fraud committed by any person whether in the employment of Broker or otherwise.
11. The Client agrees that Broker does not guarantee and shall not be deemed to have guaranteed the timeliness, sequence, accuracy, completeness, reliability or content of the market information or messages disseminated to the Client. The Broker shall not be liable for any inaccuracy, error or delay in, or omissions of any such data, information or messages, due either to any act or omission by Broker or to any "force majeure" event (e.g. Flood, extraordinary weather condition, earthquake or any other act of god, fire, war, insurrection, riot, labour dispute, accident, action of government, communication, power failure, shut down of the systems for any reason (including on account of computer viruses), equipment or software malfunction); any fraud committed by any person whether in the employment of Broker or otherwise or any other cause which is beyond the reasonable control of Broker.
12. The Client hereby authorizes Broker to take all such

steps on the Client's behalf as may be required or advisable in Broker's opinion for compliance with the exchange provisions or any other law or provisions or to complete or settle any transactions entered into through or with Broker or executed by Broker on behalf of the Client. However, nothing contained herein shall oblige Broker to take such steps.

13. The Broker / service provider may require the Client to use such security measures as deemed fit including but not limited to security codes / passwords / customer user identification number / telephone personal identification number (t-pin) / digital signatures / smart cards etc. hereinafter collectively referred to as "security protocols", before accepting any orders & / or for permitting access to the systems / services / facilities made available by Broker / service provider. The Client agrees to change, wherever possible, such "security protocols" immediately on their receipt and periodically thereafter also. It shall be the responsibility of the Client using any online trading platform provided by Broker to completely log out rather than close/exit the browser/trading application window, Broker shall not be responsible or liable for any unauthorized trade and/or leakage/hacking of the Client's personal details and/or financial information available on the trading platform should the Client be negligent in adhering to the same. The Client agrees, accepts and undertakes the sole responsibility for the usage, confidentiality, protection and secrecy of all such "security protocols". The Client unconditionally agrees that he / she / it shall be solely responsible for any / all uses of "security protocols" whether for accessing data / information or for giving orders / dealings. The Client agrees to bear any losses / damages which may be caused by any use of or non use of "security protocols" and it shall be no defence that such access to data / information & / or the orders / deals were made through unauthorized use of "security protocols" by any person by whatever means including hacking, theft, forgery / electronic forgery or any other mode or manner. Notwithstanding anything stated hereinabove, on coming to know of any unauthorized access / use of any "security protocols", it shall be the duty of the Client to take all necessary steps including but not limited to informing Broker in writing with full details of the same and ensuring that such breach, loss of passwords / security protocols and / or confidentiality are immediately stopped. Broker reserves right to suspend the client account/reject the orders in case of any misuse identified / wrong credential provided / any

doubt on the person / manner providing the orders for and on behalf of client in the interest of safeguarding client's monies and avoid frauds.

14. Client understands that for performing the acts contemplated under this relationship/MoU Broker has to use softwares and hardwares/machines etc. Client understands that as regards trading the softwares/programmes of stock exchanges are used with additional softwares permitted by stock exchanges. While stock exchanges take all care have full proof softwares/programmes and additional softwares/programmes pre pre-approved by stock exchanges no warranty /guarantee is taken either by the vendors/suppliers of any these softwares/ programmes of their full proof/glitch/bug free performance always. Their operations can also be effected due to software viruses etc. which may inter-alia lead to disruption in trading / order entry and/or false/incorrect display of order/trade status including but not limited to display of trade confirmation etc. when actually trade has not occurred or has occurred contrary to display. Therefore the Client agrees that display or printout of any transactions taken out from any system / computer at the time of order entry or instructions entry or thereafter, including but not limited to net banking and/or electronic transfer of securities in depository etc., shall not be construed as the official record of the transactions/orders. Broker's or service providers' (such as bank's/stock exchanges/clearing house/clearing corporation/depository participant/depository) final official record of transaction maintained in their own books of accounts or electronic systems shall only be the acceptable records and shall be conclusive and binding for all purposes (such as clearing file of stock exchanges etc.). The Client agrees that this is without prejudice to the right of Broker/service provider to rectify any discrepancy / differences which is due to any inadvertent human error/ system/ computer error etc., at any time without limitation, at the sole and absolute discretion of Broker and / or any of the service providers.
15. The exchange may cancel a trade suo-motto without giving any reason thereof. There may be insufficient bids or offers or suspension of trading due to price limits or circuit breakers. The electronic trading systems either at the exchanges or in the broker's office are vulnerable to temporary disruptions or failures. In the event of trade cancellation due to such events or vulnerabilities, the Broker shall be entitled to cancel relative contract(s) with the Client. At times, due to such unforeseen circumstances the Broker may not be able to execute the desired transaction, either the Client(s) own transactions or transactions for enforcing margins as provided in this MoU on a timely basis. The Broker does not accept responsibility for any losses that the Client may incur on such eventualities beyond the control of the broker. 16. In the event the Client transacts in different segments of one exchange, the Client specifically authorises the broker to set off the outstanding in the Clients accounts maintained by the broker in respect of any segment of that stock exchange against the money standing to the credit of the Clients account maintained by the broker in respect of any other segment.
17. The Broker may insist the Client to deposit interest free margin of a minimum of 20 per cent of the price of the securities/ derivative instruments proposed to be purchased, unless the Client already has an equivalent credit with the Broker. The Broker may insist the Client to deposit interest free margin of a minimum of 20 per cent on the price of securities/Derivative instruments proposed to be sold, unless the Broker has received the Securities to be sold with valid transfer documents or deposited in clearing satisfaction prior to such sale.
18. The Client authorises the Broker to set off a part or whole of the margin i.e. by way of appropriation to the relevant amount of cash or by sale or transfer of all or some of the securities which form part of the margin, against any dues of the Client in the event of the failure of the Client to meet any of the obligations under the terms mentioned in the MoU.
19. In case where the payment by the Client towards the margin is made through a cheque issued in favour of Broker, any trade (s) would be executed by the Broker only after clearance of the cheque and at the discretion of the Broker.
20. The Client hereby agrees that Broker may communicate/ send information to the Client like order placement, order confirmations, order modifications, order executions, trade confirmations, trade modifications, bills, transaction statements, account statements, margin requirements, trading / settlement cycles, delivery / payment schedules, policies, procedures, notices, frequently asked questions (FAQs) and any other documents / reports, using any or more of the following means or methods such as post / speed post / courier / registered post / registered post acknowledgement due / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen

of the Client's computer; by informing the Client through employees / agents of Broker, by publishing / displaying it on the website of Broker / making it available as a download from the website of Broker; by displaying it on the notice board of the branch / office through which the Client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. The Client agrees that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be the agent of the Client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail /voice mail service provider/SMS, etc. by Broker and the Client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever.

21. The broker shall send the contract note to the Client within 24 hours of the execution of the Clients transaction, in form of electronic contract note or otherwise via mail, e-mail, fax, courier, Registered A.D, or otherwise at the postal address, telephone/fax No.'s , email addresses given by Client to the broker. The Client undertakes that it is his/her responsibility to review the trade confirmations, contract notes, the bills or statements of account immediately upon their receipt. All information contained therein shall be binding on the Client, if the Client does not object in writing to any of the contents in reasonable time. In all cases, the broker reserves the right to determine the validity of the Client's objection to the transaction. The Client agrees that the broker will not be responsible for the non receipt of the contract notes/ trade confirmations due to change in correspondence address of the Client not intimated to the broker in writing Electronic Communication of Documents- The Broker shall send to the Client by electronic means the contract note/ trade confirmation of the trades executed, bills, account statements & other documents. The Client agrees that the Broker fulfills its legal obligation to deliver to the Client any such document, if sent via electronic delivery. The Client understands that it is his/her/its responsibility to review upon first receipt, whether delivered to Client, by E-mail (including any auto replies from the system of the Broker) or other electronic means, all confirmation statements, notices, contract bills and other communication. All information contained therein shall be binding upon the Client, if the Client does not object either in writing or via electronic mail, in reasonable time after any such document is sent to
- the Client. In all cases, the Broker reserves the right to determine the validity of the Client's objection to the transaction. The Client agrees that the Broker will not be responsible for non-receipt of documents sent via electronic delivery due to change in email address of the Client. The Client also agrees that the Broker shall not take cognizance of out-of-office/ out-of station auto replies and the Client is deemed to have received such electronic mails. The Client agrees that it is his / her/ its responsibility to review any / all information communicated including but not limited to order placement, order confirmations, order modifications, order executions, trade confirmations, trade modifications, bills, transaction statements, account statements, margin requirements etc. communicated to the Client by any of the aforesaid means or mode whatsoever, immediately on their receipt and take necessary action. All information contained therein shall be binding upon the Client.
22. The Client agrees to use, such facilities/arrangement with banks /depository participants for making or receiving payment of funds/monies and/or securities, as may be prescribed by Broker in its absolutely discretion including but not limited to online or offline facilities of one or more banks or depositories and Client hereby agrees not to hold Broker responsible for any losses or damage which may be suffered by the Client by use of any such prescribed facilities.
23. The Client agrees that Broker or any service provider such as banks etc., may from time to time prescribe particular softwares (including but not limited to browsers, operating systems, TCP/IP protocols etc.) / devices / equipments etc. and the Client agrees that such softwares / devices /equipments may need to be changed / upgraded to newer versions and this may require the Client to suitably reinstall/ uninstall/ upgrade the said facilities / device / equipments etc. at its end. Such changes may involve disruption in trading / communication of orders and may even lead to losses and the Client hereby unconditionally and absolutely agrees not to hold Broker or service providers or depositories responsible on any account. All costs / charges /levies and fees incurred by the Client for the said services shall be borne exclusively by the Client alone.
24. The Client hereby authorizes Broker in its absolute discretion to maintain records / books of accounts for the Client separately or collectively for different exchanges / segments of the exchanges & / or any other service which the Client may be availing such as Portfolio Management Services, Depository Services

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- etc. It shall be the sole responsibility of the Client to ascertain the balance of securities & /or funds in all the accounts separately and the Client shall be required to pay / make available necessary monies / funds and / or securities into anyone or more such segregated / aggregated account(s) notwithstanding the fact that an aggregation of the accounts may not require from the Client either any securities and / or monies / funds and the Client hereby agrees not to hold Broker responsible for considering shortage of margin / security & / or shortage of pay in obligations in any account, without aggregating / summing such account with other accounts. 25. The Client expressly agrees that his/her/its utilization of a service/facility such as but not limited to advisory services, portfolio management services, any other discretionary activity for and on the behalf of the client or any other transaction which the Broker undertakes with or for the client, shall also be covered by the terms & conditions of the respective agreements of such service/facility such as advisory services, portfolio management service, etc.
26. Client agrees that any loss due to any erroneous order entry / erroneous order modification shall be entertained by Broker only to the extent of insurance claim received.
 27. The Client hereby agrees to use the facilities, data and information which is provided by Broker or which may become available to the Client as a result of Client's relationship with Broker purely for purposes permitted by Broker and only for personal use and agrees never to disseminate any information or data for any reason or purposes whatsoever except under a written authority signed by a director of Broker.
 28. The Client hereby agrees and declares that he / she lit has fully assessed and accepted the risks involved in using the services/ facilities including but not limited to internet based services such as but not limited to misuse of passwords, internet frauds, technology risks etc., and agrees not to hold Broker and any / all service providers responsible for any damages, losses or negative consequences which Client may suffer in any manner whatsoever.
 29. Client agrees to Broker tape-recording the conversations between Client / Client's representative and Broker's officers/ employees/ agents etc. in its absolute discretion, either personally or over the telephone. Such recordings may be relied upon by Broker as and when required, and the Client agrees not to challenge the evidentiary value of such recordings.
 30. Client wants to make investments in mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments, etc. and generally to invest in various avenues / products and to redeem/liquidate any investments and wants Broker to give effect to desires/ requirements of Client by giving orders/instructions (electronic/ physical/verbal) for the same and to sign any documents and / or do any and all act(s) as may be required or are deemed necessary in opinion of Broker for these purposes from time to time.
 31. In case Client has made any purchase of securities and the delivery of the same falls short inter-Client at the broker level, Client hereby authorize Broker to make purchases of the same in the market to make available the delivery of the said securities to Client.
 32. In case Client has made any sale of securities and due to any exigencies Client is unable to make available the delivery of the same in the designated account within the designated time and it is an inter Client delivery at broker level, Client hereby authorizes Broker to make purchases of the same in the market on Client's behalf to make available the delivery of the said securities to the opposite party.
 33. In case the Client buys securities in one settlement, and sells the same in subsequent settlement, without having received the payout of securities, any resulting auction /losses will be the sole responsibility of the Client.
 34. Client hereby authorizes Broker to debit Client's account with depository services charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement professional charges (for as may be applicable to NRIs), research service/message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments, etc. generally various investment avenues / products, processing fees/charges towards contract note/statement of account etc. and any other such or similar fees / charges as may become applicable from time to time.
 35. Client has/ may have accounts with anyone or more companies which are part of the group to which Broker belongs (hereinafter referred to as "Broker Group"). Client understands that from time to time there may be situations where on one hand he has credit balance with one or more companies of Broker Group and on the other hand debit balance with one or more companies of Broker Group. Given the

structure of banking system delays are likely if funds are taken by Client from one or more Broker Group companies by cheque/ demand draft and paid to one or more Broker Group companies by cheque/demand draft. Therefore Client desires and directs Broker to net off/ adjust Client's credit and / or debit balance with Broker with any other Broker Group company by way of appropriate accounting entry(ies).

36. In connection with this MoU, as well as all transactions contemplated under this MoU as offered by Broker from time to time, the Client agrees to execute and deliver documents titled "authorisations" and to perform such additional actions which may be necessary, appropriate or requested to carry out or evidence the transactions in respect of the services availed by the Client from time to time. All the terms of this MoU shall be read as part and parcel of authorisations.
37. The Client hereby declares that all information which have been provided, are being provided and which shall be provided by the Client to Broker or any service provider under this MoU or in relation thereof or as consequences thereof is and shall always be true to the best of information and knowledge of the Client.
38. The Client expressly agrees that his /her/ its utilization of a service / facility such as but not limited to advisory services, any other activity for and on the behalf of the Client or any other transaction which Broker undertakes with or for the Client, shall also be covered by the terms & conditions of this MoU.
39. The Client agrees that mere entering into this MoU or any other agreement, does not entitle the Client to any service(s)/ facility(ies) from Broker as a matter of right and Broker may in its absolute discretion provide or decide not to provide the anyone or more service(s)/ facility(ies).
40. The Client agrees that all monies, securities or other property which Broker may hold on Client's account shall be held subject to a general lien for the discharge of Client's obligations to Broker.
41. The Client further accepts and acknowledges that he would observe proper caution and due diligence while giving orders to the dealers / entering orders into trading platform provided by Broker. The client further agrees that he would not indulge in any trading activity resulting in the disturbance of the market equilibrium including manipulation of the price of any scrips / contracts, synchronized deals with any person or any kind of orders / trades which may be considered as inappropriate/ unacceptable by Broker/the relevant exchange(s)/ regulator(s). The

Client acknowledges that Broker reserves the right to keep in abeyance the funds / securities as may be deemed fit by Broker depending upon the gravity of the violation or/and through trades done by/on behalf of the Client considered as inappropriate / unacceptable by Broker / the relevant exchange(s) / regulator(s). The client further understands and accepts that Broker also reserves the right to levy any penalty for such trades done by / on behalf of the Client considered as inappropriate / unacceptable by Broker / the relevant exchange(s) / regulator(s), as may be deemed fit by Broker / the relevant exchange(s)/ regulator(s).

42. The Client hereby agrees that it is the sole responsibility of the Client to know the status/ declaration of all corporate benefits including but not limited to Rights Issue, Bonus Issue, Dividends and Stock Split of Shares/ Buy Back, etc, announced by Issuer Company from time to time, for securities of company(ies) in which Client intends to trade and/ or those which are kept by Client with Broker for ease of dealing/ margin/ collateral security etc. and make appropriate trading/dealing decisions by appropriately considering the impact of any corporate action(s). Broker is not required to act as an advisor to Client in any of these matters/ aspects. It is the Clients sole responsibility to track announcements of such corporate benefits Broker shall not be liable for any losses suffered by Client, if Client fails to apply to such corporate benefits for the shares held by Broker in beneficiary account on behalf of Client. Client may be keeping securities with Broker for ease of payment for ease of dealing / consideration as margin / security / collateral etc. Client understands that some corporate benefits will be passed onto the relevant account of Broker by issuer company(ies). It is understood and agreed that these corporate benefits will continue to remain with Broker unless a request (to be binding upon Broker only if evidenced by a photocopy/carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) is made by Client for transfer the same to Client's own account. The transfer by Broker shall not be immediate but take reasonable time, subject to there being no pay - in obligations/ margin obligations/ collateral obligations needed to be fulfilled by corporate benefits received. Further, where Client is keeping securities with Broker for ease of dealing for consideration as margin/security/collateral etc., Client understands that some corporate benefits will require some action for obtaining the same, such as for rights

Continue on NEXT Page.....

- issue etc. It is understood and agreed that Client shall free the securities from any margin/collateral/security/pay -in obligations and get them moved through request (to be binding upon Broker only if evidenced by a photocopy/ carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) given well in advance to Client's own beneficiary account and take necessary action for applying and/or receiving corporate benefits. In exceptional circumstances Broker may upon request (to be binding upon Broker only if evidenced by a photocopy/ carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) given well in advance take actions for and on behalf of Client to / apply and / or receive such corporate benefits such as for Right Issue/Open Offer/Buy Back for the shares held by Broker on behalf of client (subject to Client making available free funds etc. for the same well in advance). However Broker shall not be liable for any loss/claim whatsoever in the event such application is rejected by Registrar /Company /Manager to the Issue for any reason.
43. The Client agrees and authorizes the Broker to determine the market value of securities placed as margin. The Client undertakes to monitor the market value of such securities on a continuous basis. The Client further undertakes to replenish any shortfall in the value of the margin consequent to a fall in the market value of such securities placed as margin immediately whether or not the Broker intimates such shortfall.
44. The Broker may at its sole discretion prescribe the payment of margin in the form of cash instead of securities. The Client accepts to comply with the Broker's requirement of payment of margin in the form of cash immediately failing which the Broker may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion without further reference to the Client and any resultant or associated losses that may occur due to such square off / sale shall be borne by the Client, and the Broker is hereby fully indemnified and held harmless by the Client in this behalf. Any reference in these terms to sale or transfer of securities by the Broker shall be deemed to include sale of the securities which form part of the margin maintained by the Client with the Broker. In exercise of the Broker's right to sell securities under this MoU or any other agreement, the Client agrees that the choice of specific securities to be sold shall be solely at the Broker's discretion.
45. The Client hereby agrees and accepts that notwithstanding anything to the contrary in this MoU or elsewhere, if the Client fails to maintain or provide the required margin / security or to meet the funds/ securities pay in obligations for the orders/ trades/deals of the Client within the prescribed time and form, the Broker shall have the right without any further notice or communication to the Client to take anyone or more of the following steps:
- (i) To withhold any payout of funds/securities.
 - (ii) To withhold/disable the trading/dealing facility to the Client.
 - (iii) To liquidate one or more security(s) of the Client by selling the same in such manner and at such rate which the Broker may deem fit in its absolute discretion. It is agreed and understood by the Client that securities here includes securities which are pending delivery/receipt.
 - (iv) To liquidate/square off partially or fully the position of sale & / or purchase in anyone or more securities / contacts in such manner and at such are which the Broker may decide in its absolute discretion.
 - (v) To take any other steps which in the given circumstances, the broker may deem fit.
- The Client agrees that the loss(s) if any, on account of ay one or more steps are enumerated herein above being taken by the Broker, shall be borne exclusively by the Client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the Broker.
46. The Client is responsible for all orders, including any orders that may be executed without the required margin in the Client Account. If the Client's order is executed despite a shortfall in the available margin, the Client shall, whether or not the Broker intimates such shortfall either through delivery of shares in the event of a sale or credit the required funds in the bank account via wire or personal cheque, cashier's cheque or money order or account transfer or any other mode.
47. If payment / securities towards the margin or shortfall in margin is not received instantaneously to enable restoration of sufficient Margin in the Clients account, all or some of the positions of the Client may be squared off or the securities placed as margin by the Client may be sold off by the Broker at its sole discretion, without any further reference to the Client and without prior notification and any resultant or associated losses that may occur due to such squaring off or sale of securities shall be borne by the Client, and the Broker is hereby fully indemnified and held

- harmless by the Client in this behalf. Such liquidation or close out of positions shall apply to any segment in which Client does business with the broker.
48. The Client's position are valued at the latest market price available ('Mark to Market') on a continuous basis by the Broker. If on such mark to market, the loss incurred by the Client is more than the margin available with the Broker, the Client shall instantaneously pay additional margin by way of cash only.
 49. The Client hereby agrees and authorizes the Broker to transfer funds & / or securities from his account for one exchange &/or one segment of the exchange to his / her fits account for another exchange & /or another segment of the same exchange whenever applicable and found necessary by the Broker. The Client also agrees and authorize the Broker to treat / adjust his /her fits margin/ security lying in one exchange & /or one segment of the exchange /towards the margin /security /pay in requirements of another exchange &/or another segment of the exchange.
 50. The Client agrees that any amounts which are overdue from the Client towards trading or on account of any other reason to the Broker will be charged with delayed payment charges at such rates as may be determined by the Broker.
 51. The Client agrees that the Broker may impose fines/ penalties for any orders/ trades/ deals/ actions of the Client which are contrary to this segment /rules/ regulations/ bye laws of the exchange or any other law for the time being in force, at such rates an in such form as it may deem fit. Further where the Broker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of fin relation to any of the orders/trades/ deals/ actions of the Client, the same shall be borne by the Client.
 52. The Client agrees to pay to the Broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the Client's account! transactions/ services that the Client avails from the Broker.
 53. The Client agrees that all monies, securities or other property which the Broker may hold on client's account shall be held subject to a general lien for the discharge of Client's obligations to the Broker.
 54. The Client further agrees that he/she/it will not be compensated by the Broker for any "lost opportunity" viz notional profits on buy/sell orders which could not be executed due to any reasons whatsoever, including but not limited to time lag in the execution of order or the speed at which the system of the Broker or of the Exchange is operating, any shutting down by the Broker of his/her/its system for any reasons and/or the Broker disabling the Client from trading on its system for any reasons whatsoever.
 55. The Client agrees that all investment and disinvestment decisions are based on the Client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information that may be made available on the website of the Broker or otherwise. The Client will not hold nor shall seek to hold the Broker or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses or other losses (direct or indirect or consequential), costs or damage incurred by the Client consequent upon relying on information, research options or advice or any other material information whatsoever provided by the Broker or any other person. The Broker does not represent and shall not be deemed to have represented, that the investment information on the website is accurate or complete. The Client is aware that any information on the website is based on the research of the Broker or other external sources, is subject to normal variations in the stock market and is merely an estimation of the viability or otherwise of certain investment, and the Broker shall not be deemed to have assumed any responsibility for such information. The Client should seek independent professional advise regarding the suitability of any investment decision. The Client also acknowledges that the Broker's employees are not authorised to give any such advice and that the Client will not solicit or rely upon any such advice from the Broker or any of its employees.
 56. The Client hereby agrees to hold shall indemnify and keep indemnified the Broker continuously harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and loss expenses that are occasioned or may be occasioned to the Broker directly or indirectly, due to violation by the Client of bye laws, rules, regulations and circulars of exchange & SEBI & or loss owing to bad delivery of shares/ securities and or as a result of fake/forged/ stolen shares/securities/transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealings/operations on NSE.

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57. This MoU does not constitute an offer to sell or a solicitation of an offer to buy any shares, securities or other instruments to any person in any jurisdiction where it is unlawful to make such an offer or solicitation. The services covered are not intended to be any form of any investment advertisement, investment advice or investment information and has not been registered under any securities law of any foreign jurisdiction and is only for the information of any person in any jurisdiction where it may be lawful to offer such a service. Further, no information on the website is to be construed as a representation with respect to shares, securities or other investment regarding the legality of an investment therein under the respective applicable investment or similar laws or regulations of any person or entity accessing the website.
58. The Client confirms having read and accepted the terms and conditions of this MoU and accepts and

- agrees to be bound by them including those excluding/limiting Broker's liabilities.
59. The Client agrees that the failure of Broker to enforce at any time any terms contained in this MoU shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.
60. If any provisions of this MoU are held invalid or unenforceable by reason of any law, rule, administrative order or judicial decision by any court, or regulatory or self regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or terms held invalid. The validity of the remaining provisions and terms shall not be affected thereby and these terms shall be carried out as if any such invalid / unenforceable provisions or terms were not contained herein.
61. Except where the byelaws provide otherwise, the Parties agree to exclusive jurisdiction of of courts of law at Delhi.

Client confirms having read and accepted all the terms and conditions of this document titled 'Memorandum of Understanding' inter-alia comprising of clauses 1 to 61 and agrees to be bound by all of them including those excluding/limiting the stock broker's liabilities.

IN WITNESS thereof the parties of the MoU have caused these presents to be executed as of the day and year first above written.

Signed and Delivered by

Bajaj Capital Investor Services Limited

Authorised Signatory

WITNESS : Name and Signature (on behalf of BCISL)

1st Witness

Name

Signature

Address

PIN Code

2nd Witness

Name

Signature

Address

PIN Code

Place Date - -

Signed and Delivered by

Client- Name and Signature

Client Name

Signature  A19/30

WITNESS : Name and Signature (on behalf of Client)

1st Witness

Name

Signature

Address

PIN Code

2nd Witness

Name

Signature

Address

PIN Code

Place Date - -

Note: All references to the specific quantity / rate / fee mentioned in this MoU are subject to change from time to time, as so agreed to in writing between the parties.

To,

Bajaj Capital Investor Services Limited

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

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

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

I/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 authorise 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 funds 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 the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. 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 do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that while I am entitled to revoke this authorisation 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 in terms of this authorisation.

My/Our preference for actual settlement of funds and securities is at least:

- Once in a Calender Quarter Once in a Calender Month

Thanking you,

Yours faithfully,

Signature  A20/30

Client Name

Date

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

AUTHORISATION FOR ELECTRONIC CONTRACT NOTES

VOLUNTARY

To,
Bajaj Capital Investor Services Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019
 Ph.: 011-41693000, 66161111 Fax : 011-66608888

Dear Sir,
 I/We have been / shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options Segments. As my / our broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.
 I/ We understand that, , / we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/ we hereby opt for receipt of contract notes in electronic form. , I/We understand that for the above purpose, you are required to take from the client “an appropriate email account” for you to send the electronic contract notes. Accordingly, please take the following email account(s) / email id on your record for sending the contract notes to me / us.

1.
2.

I/We agree not to hold you responsible for late / non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I/ we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt/ delayed receipt for any reason whatsoever.

I /We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) / email id(s).
 I/We understand that 'am required to intimate any change in the email id/ email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. 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.

Thanking you,
 Yours faithfully,

Signature Client Name
 Date - [Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

ADJUSTMENT OF BALANCES IN GROUP ACCOUNTS

VOLUNTARY

To,
Bajaj Capital Investor Services Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019
 Ph.: 011-41693000, 66161111 Fax : 011-66608888

Sl.	Name of the Entity	Trading Client Code	Signature of the Authorised Person
<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"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

We the above mentioned associate entities have been regularly trading and investing with you on various segments of the stock exchanges, NSE (Capital, F&O), BSE (Capital, F&O). For the purpose of operations with you, we agree to be treated as family account.
 In order to facilitate operations we hereby authorise you to set off the outstandings towards margins/settlements in any of the above mentioned accounts against credits available or arising in any of the above accounts irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of any exchange and/or against value of cash margin or collateral shares provided to you by any of the above entities.
 Kindly treat the above as standing instructions and will applicable unless a specific written instructions to contrary is given by either entity.
 We have affixed our signatures above consenting to the above mentioned terms of adjustments.

Thanking you,
 Yours faithfully,

Signature Client Name
 Date - [Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

AUTHORISATION LETTER FOR ADJUSTMENT OF PAYIN & PAYOUT OBLIGATIONS OF SECURITIES/CONTRACTS ACROSS EXCHANGES

To, **VOLUNTARY**

Bajaj Capital Investor Services Limited

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

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

Dear Sir,

I/We, _____, an individual/a sole proprietary concern/ a partnership firm/ a body corporate/Trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956 or any relevant Act, having my/our residence /registered office at

_____ (hereinafter referred to as the "Client").

That I/we, am/are a Client of Bajaj Capital Investor Services Limited (referred to as "BCISL") for investing/trading in securities/derivatives contracts admitted/permited for dealing on the respective Exchanges and also for investing/trading in those contracts admitted/permited for dealing on the Derivatives Market Segment of the respective Exchanges.

That in respect of the aforesated fulfilled KYC. I/we hereby authorize you to meet the Payin/Payout obligations arising at NSE & BSE without transferring the same to my/our demat account as and when such inter exchange obligations arise in the securities/contracts traded by me/us across Exchanges with either BCISL.

Furthermore, the aforesated authority conferred as above shall subsist even after the termination of the aforesated fulfilled KYC with BCISL until all obligations under the said arrangement are satisfied fully by me/us.

Thanking you,

Yours faithfully,

Signature  A23/30

Client Name _____

Date _____

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

VERBAL ORDER ACCEPTANCE AUTHORISATION **VOLUNTARY**

To,

Bajaj Capital Investor Services Limited

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

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

Dear Sir,

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

I/We agree and acknowledge that it is advised and preferred you that I/We give instructions for order placement/ modification and cancelation in writing and to avoid disputes, I/we must give instructions in exactly the format given below in duplicate (carbon copy/ photocopy) and take signatures of your duly authorised officers at the branch along with your company stamp on the carbon/photocopy of the instructions in acknowledgement of receipt of my/our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my / my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I /We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under mine/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise.

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.

Thanking you,

Yours faithfully,

Signature  A24/30

Client Name _____

Date _____

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.,]

[Note : Format for written order can be downloaded from the website: www.justtrade.in]

SMS SERVICE REGISTRATION FORM

VOLUNTARY

To,
Bajaj Capital Investor Services Limited
Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019
Ph.: 011-41693000, 66161111 Fax : 011-66608888

Dear Sir,

This service is for information purposes only and does not construe/constitute to be any investment advice. It is not intended as an offer or solicitation for the purchase and/or sale of any securities/financial instrument through us. Any action taken by you on the basis of the information contained herein is your sole responsibility and accordingly neither Bajaj Capital Investor Services Ltd. (hereinafter referred as BCISL) nor any of its directors, employees, associates /affiliates shall be liable in any manner whatsoever for the consequences arising out of any action taken by you.

Person availing and receiving this service should rely on their own investigations and prudent judgment before acting on the same. BCISL, its directors, employees and/or its associates/affiliates or their employees may have interest and/or hold position(s), financial or otherwise in the securities mentioned in this service.

I/we have read, understood and agree to the terms and conditions mentioned above and wish to register my [] (mobile number) for Stock Ideas and other information through SMS service and/or any other telecommunication service for the said service and agree not to forward the same to anyone and shall use the same for my own. I declare that I am aware about the risks involved in securities trading investment.

Thanking you,
Yours faithfully,

Signature	<input type="text" value="A25/30"/>	Client Name	<input type="text"/>
Date	<input type="text"/>	Client Code	<input type="text"/>
Place	<input type="text"/>		

FOR OFFICE USE

<input type="text"/>	<input type="text"/>	<input type="text"/>
Entered by	Checked by	Verified by

AUTHORISATION FOR DEBITING DEMAT ACCOUNT OPERATING CHARGES

VOLUNTARY

To,
Bajaj Capital Investor Services Limited
Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019
Ph.: 011-41693000, 66161111 Fax : 011-66608888

Dear Sir,

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segment. As my Broker, i.e. agent, I/we authorize you to debit my/our account against the charges raised by you on account of Depository Services Provided by you or by on account of Depository Services Provided by them and bill raised by them in this regard. The details of Demat account(s) are as follows:

DEPOSITORY	DEPOSITORY PARTICIPANT	BENEFICIARY ACCOUNT
<input type="checkbox"/> NSDL / <input type="checkbox"/> CDSL	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> NSDL / <input type="checkbox"/> CDSL	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> NSDL / <input type="checkbox"/> CDSL	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> NSDL / <input type="checkbox"/> CDSL	<input type="text"/>	<input type="text"/>

Thanking you,
Yours faithfully

Signature	<input type="text" value="A26/30"/>	Client Name	<input type="text"/>
	<input type="text"/>		

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

STANDING INSTRUCTIONS

VOLUNTARY

To,
Bajaj Capital Investor Services Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019
 Ph.: 011-41693000, 66161111 Fax: 011-66608888

Dear Sir,

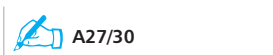

I/We have been / shall be dealing through you as my broker on the Capital Market and/or Futures & Options Segments. As my broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my/our behalf as per instructions given below.

Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.

I/ we direct and authorize you to pledge /deposit my/our securities whether deposited as collateral/margin or permitted by us to be retained in the running account etc. by you with any person(s) including but not limited to anyone or more bank(s) and/or stock exchange(s) and/or clearing corporation(s) / clearing house(s) or any other person. You may at your absolute discretion raise funds, obtain bank guarantee(s) and FDRs etc. against such deposit/pledge. I/ we authorise you to do in my/our name and on my/our behalf all such acts, deeds and things as may be necessary and expedient for placing pledging / depositing my/our securities with a person of your choice. If for any reason the pledgee sells / liquidates these securities I/we shall not dispute or contest the acts of pledgee in any manner what so ever. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. 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.

I hereby authorize you to maintain records / books of accounts for the Client collectively for different exchanges/ segments of the exchanges and / or any other service which the Client may be availing.

Thanking you,
 Yours faithfully,

Signature 


Client Name
 [Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

BSE StAR MF

VOLUNTARY

(Letter to be provided by the Investor to the MFI)

To,
Bajaj Capital Investor Services Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019
 Ph.: 011-41693000, 66161111 Fax: 011-66608888

Dear 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 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,

Signature 
 Date

Client Name
 [Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

(Letter to be provided by the Investor to the Participant)

To,
Bajaj Capital Investor Services Limited
Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019
Ph.: 011-41693000, 66161111 Fax : 011-66608888

Dear Sir,

Sub: Mutual Fund Service System (MFSS) facility

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

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.

For the purpose of availing the MFSS 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 MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We am /are willing to abide by the terms and conditions as mentioned in the Circular dated 24 November 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/Wetherefore request you to register me/us as your client for participating in the MFSS.

Thanking you,

Yours faithfully,

Signature  A29/30

Client Name

Date - -

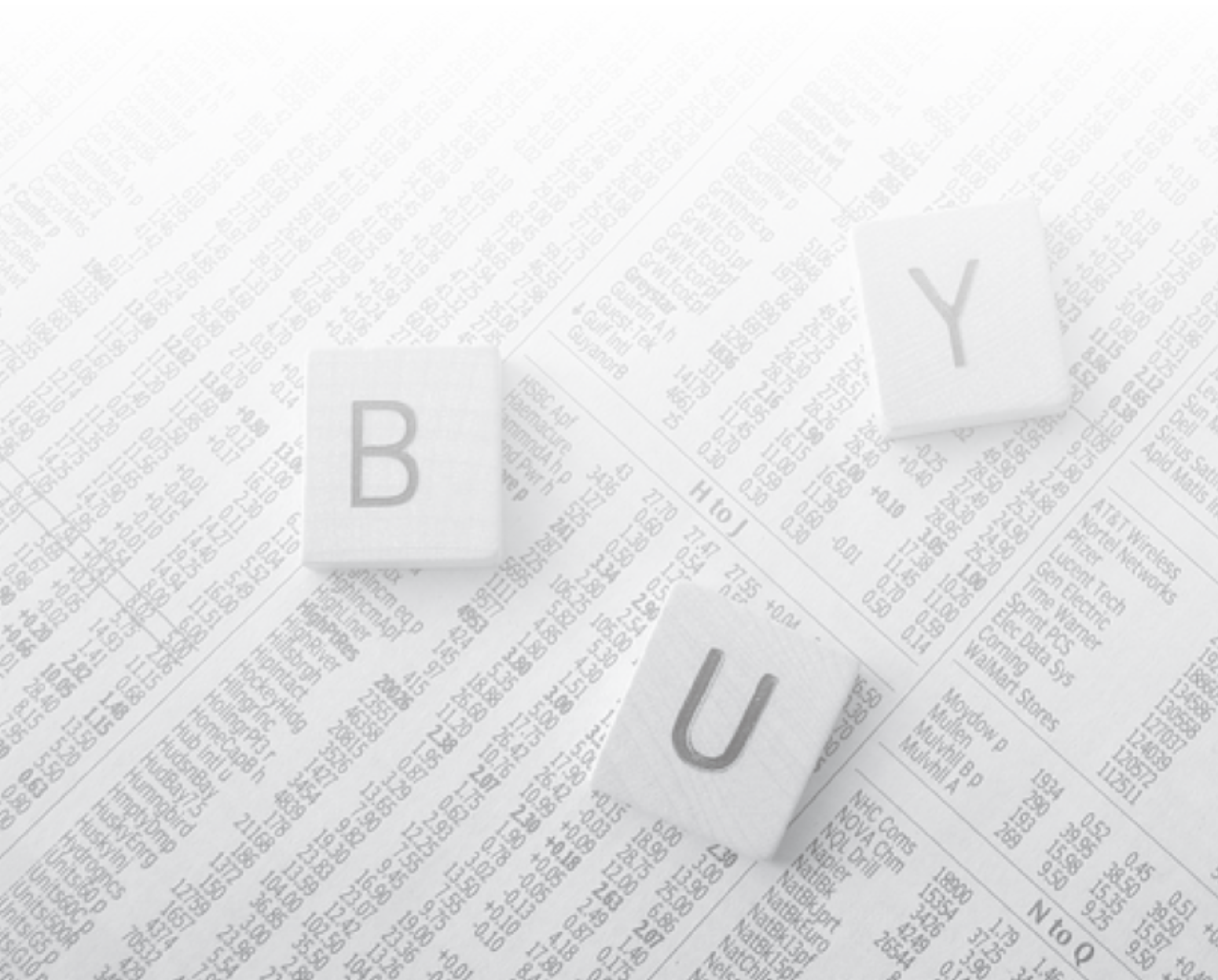
[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

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 transacting through the Participant.
 - 1.4 The Client has approached to the Participant with the application for availing the New MFSS felicity.
 - 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, Rules, Regulations 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 a subscription 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 the 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.

Signature  A30/30

Client Name



B

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Just Trade[™]
Create Wealth.



always acting in your interest (%)

Bajaj Capital Investor Services Ltd.

Bajaj Capital Ltd.

Bajaj House, 97, Nehru Place, New Delhi - 110019. Phone: 011-41693000, 66161111 Fax : 011-66608888
Website: www.justtrade.in, www.bajajcapital.com e-mail: info@justtrade.in, info@bajajcapital.com

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 <http://www.twitter.com/justtradedotin>