

ACCOUNT OPENING KIT DEMAT AND TRADING SERVICE

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN, Aadhaar 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 Pay-ing taxes/filing tax returns in India.
4. In case of institutional clients, namely, FIIs, MFs, VFCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

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

INSTRUCTIONS/ CHECK LIST (for filling additional information related to trading account)

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

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

ACCOUNT OPENING FORM FOR STOCK TRADING SERVICES

INDEX OF DOCUMENTS

ANNEXURE-I

S. No.	Name of Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & STOCK EXCHANGES		
1	Part I - Know Your Client (KYC) Application Form (For Individuals)	03-05
2	FATCA-CRS Declaration & Supplementary KYC Information	06
3	Part II - Additional information related to Trading & Depository Account	07-09
4	Mode of Communication to be sent in case of joint account/authorisation for providing DP transaction statement by email or on website	10
5	Nomination form for Demat Accounts and Mutual Fund (MF) Folios and Declaration Form	11-13
6	Tariff Sheet	15-16
7	Internet & Wireless Technology based trading facility provided by stock brokers to client	17
8	Most Important Terms and Conditions (MITC)	18
9	Policy Framework for Voluntary Freezing/Blocking of Online trading Account Access for Clients	19
10	Declaration of BSDA Facility	21
11	Policy on Handing of Goods till Cancelled - BCML	22
VOLUNTARY DOCUMENTS		
12	Voluntary Agreement	23-30
13	Demat Debit And Pledge Instruction ("DDPI")	31
14	Declaration for Email Id/mobile number	32
15	Running Account Authorisation	33
16	Authorisation for electronic contract notes/authorisation letter for adjustment of Payin & Payout obligations of securities/contracts across exchanges	34
17	Verbal order acceptance authorisation/authorisation for debiting Demat Account Operating charges	35
18	SMS service registration form/standing instructions	36
19	Declaration- vernacular language/declaration for name mismatch	37
20	Investor Charter for Stock Broker and Depository Participant	39-48

Rights & Obligation Risk Disclosure Documents, Do's & Don't and significant Policies & Procedures of the Stock Brokers & other standard documents can also be downloaded from the website : <http://www.justtrade.in/Downloads.aspx>

DISCLOSURE : IN PURSUANCE OF SEBI CIRCULAR NO. SEBI/MRD/SE/CIR-42/2003 DATED 19TH NOVEMBER, 2003 BAJAJ CAPITAL MARKETS LIMITED (Formerly Known as JUST TRADE SECURITIES LIMITED) INFORMS ALL ITS CLIENTS THAT WE WILL ALSO BE DOING 'PROPRIETARY TRADING' BESIDES DOING CLIENT TRADING.

I/We hereby confirm that I/We have received the copy of all the above said document(s) executed by me/us alongwith the standard mandatory documents as prescribed by SEBI vide Circular No. CIR/MIRSD/64/2016 dated 12th July 2016.

Signature 

Client Name

Date

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

Bajaj Capital Markets Limited

Exchange/Segment	Member ID	Registration No.	Date of Registration
NSE- Capital & F & O	12693	INZ000236930	14-06-2006
BSE- Capital & F & O	6421	INZ000236930	28-02-2011
Research Analyst	5741	INH100002862	15-04-2016
AMFI	49850	ARN-49850	09-04-2012
NSDL Depository Participant	IN304797	IN-DP-786-2024	26-11-2024

REGISTERED OFFICE AND CORPORATE ADDRESS

Bajaj House 97, Nehru Place, New Delhi-110019
Ph.: 011-4169 3000

COMPLIANCE OFFICER (Trading and Depository Participant)

Ms. Payal Vig
Email: payal.vig@bajajcapital.com
Contact: 011-41693000

DESIGNATED DIRECTOR

Mr. Sanjiv Maheshwari
E-mail Id : sanjeevm@bajajcapital.com
Phone No. : 011-41693000

For any grievance/dispute please contact Bajaj Capital Markets Limited (formerly Known as JUST TRADE SECURITIES LIMITED at the above address or email customerservice@justtrade.in and Phone no. 1800-3000-9000 (All Users). Please contact as per our escalation Matrix by following the link <https://www.justtrade.in/contact-us.aspx>. In case not satisfied with the response, please contact the concerned exchange.

EXCHANGE AND DEPOSITORY NAME	EMAIL ID	CONTACT NO.
National Stock Exchange of India Limited	ignse@nse.co.in	011-2374 1741/4939 3000 Toll Free: 1800 266 0058
BSE Limited	iscdelhi@bseindia.com	011 - 2578 2116 - 18
NSDL	relations@nsdl.co.in	+ 91-22-24994200

You can also lodge your grievances with SEBI at <https://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

Procedure for Filing of complaints on SCORES – Easy & quick

- Register on SCORES portal
- Mandatory details for filing complaints on SCORES: i. Name, PAN, Address, Mobile Number, Email
- Benefits: i. Effective communication ii. Speedy redressal of the grievance

PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)

BAJAJ CAPITAL MARKETS LIMITED (MIID-P2148)
 formerly known as **Just Trade Securities Limited**
 Bajaj House 97, Nehru Place, New Delhi-110019
 Ph.: 011-41693000 | Email: info@justtrade.in, dp_bcml@bajajcapital.com
 Website: www.justtrade.in
CIN - U67120DL2004PLC130803

Photograph
 Please affix your recent
 passport size photograph

Signature Across photograph

NEW **CHANGE REQUEST** (Please tick ✓ the appropriate)

* Separate KYC Application forms must be filled by each applicant i.e. (2nd Holder, 3rd Holder & Guardian)

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

Name of the Applicant (as per PAN)																													
Father's / Husband Name																													
Mother's Name																													
a) Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	b) Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others _____	c) DOB	D	D	M	M	Y	Y	Y	Y	Y	Y															
a) Nationality/Citizenship	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify _____)																												
b) Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin																												
a) PAN															b) Aadhaar Number														
Specify the proof of identity submitted		<input type="checkbox"/> PAN Card <input type="checkbox"/> Any other (Please specify _____ Please refer instructions)																											

B. ADDRESS DETAILS

<input type="checkbox"/> Residence / <input type="checkbox"/> Correspondence Address															
	City/Town/Village									PIN Code					
	State									Country					
Specify the proof of address submitted for Residence / Correspondence address															
Contact Details	Mobile No.							E-mail ID							
	Tel. (Off.)							Tel. (Res.)			Fax No				
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. DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I/We are also aware that for Aadhaar OVD based KYC, my KYC shall be validated against my Aadhaar. I/We hereby consent to sharing my/our masked Aadhaar with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I/We or BCML have a business relationship for KYC nly. I/We hereby consent to receiving information from CVL KRA & C-KYC Registry through SMS/Email on the above registered number/Email ID.	Signature of the Applicant												
	Date	D	D	M	M	Y	Y	Y	Y	Y	Y	Y	Y

FOR OFFICE USE ONLY

<input type="checkbox"/> Originals verified & Self-Attested documents copies received													
Name of the person doing IPV ⁵ & Interview										Designation			
Date of IPV	D	D	M	M	Y	Y	Y	Y	Y	STAMP OF THE ORGANIZATION			
Name of the Organization													

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Signature Across photograph

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Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

A. IDENTITY DETAILS

Name of the Applicant															
Father's / Husband Name															
Mother's Name															
a) Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		b) Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others _____			c) DOB		D	D	M	M	Y	Y	Y	Y	
a) Nationality/Citizenship <input type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify _____)															
b) Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin															
a) PAN				b) Aadhaar Number											
Specify the proof of identity submitted <input type="checkbox"/> PAN Card <input type="checkbox"/> Any other (Please specify _____)															

B. ADDRESS DETAILS

<input type="checkbox"/> Residence / <input type="checkbox"/> Correspondence Address	City/Town/Village		PIN Code								
	State		Country								
	Specify the proof of address submitted for Residence / Correspondence address										
Contact Details		Mobile No.			E-mail ID						
		Tel. (Off.)			Tel. (Res.)			Fax No			
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. DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I/We are also aware that for Aadhaar OVD based KYC, my KYC shall be validated against my Aadhaar. I/We hereby consent to sharing my/our masked Aadhaar with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I/We or BCML have a business relationship for KYC nly. I/We hereby consent to receiving information from CVL KRA & C-KYC Registry through SMS/Email on the above registered number/Email ID.	Signature of the Applicant											
	Date		D	D	M	M	Y	Y	Y	Y		

FOR OFFICE USE ONLY

<input type="checkbox"/> Originals verified & Self-Attested documents copies received												
Name of the person doing IPV ⁵ & Interview						Designation						
Date of IPV	D	D	M	M	Y	Y	Y	Y	STAMP OF THE ORGANIZATION			
Name of the Organization						Signature of the person doing IPV						

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 passport size photograph

Signature Across photograph

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Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

A. IDENTITY DETAILS

Name of the Applicant																									
Father's / Husband Name																									
Mother's Name																									
a) Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	b) Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others _____	c) DOB	D	D	M	M	Y	Y	Y	Y													
a) Nationality/Citizenship	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify _____)																								
b) Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin																								
a) PAN													b) Aadhaar Number												
Specify the proof of identity submitted		<input type="checkbox"/> PAN Card <input type="checkbox"/> Any other (Please specify _____)																							

B. ADDRESS DETAILS

<input type="checkbox"/> Residence / <input type="checkbox"/> Correspondence Address															
	City/Town/Village									PIN Code					
	State									Country					
Specify the proof of address submitted for Residence / Correspondence address															
Contact Details	Mobile No.							E-mail ID							
	Tel. (Off.)							Tel. (Res.)				Fax No			
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															

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I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.	Signature of the Applicant												
	Date	D	D	M	M	Y	Y	Y	Y				

FOR OFFICE USE ONLY

<input type="checkbox"/> Originals verified & Self-Attested documents copies received													
Name of the person doing IPV ⁵ & Interview										Designation			
Date of IPV	D	D	M	M	Y	Y	Y	Y	Signature of the person doing IPV	STAMP OF THE ORGANIZATION			
Name of the Organization													

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

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

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

FATCA & CRS Terms and Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules required Indian financial institutions such as the Ban to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

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

Sole/First Holder Signature

Date - -

Second Holder Signature

Third Holder Signature

PART-II ADDITIONAL INFORMATION RELATED TO TRADING & DEPOSITORY ACCOUNT FOR INDIVIDUALS & NON-INDIVIDUALS

BAJAJ CAPITAL MARKETS LIMITED (MIID-P2148)

formerly known as **Just Trade Securities Limited**

Bajaj House 97, Nehru Place, New Delhi-110019

Ph.: 011-41693000 | Email: info@justtrade.in, dp_bcml@bajajcapital.com

Website: www.justtrade.in

CIN - U67120DL2004PLC130803

FOR OFFICE USE ONLY	CLIENT ID									
	Unique Client Code (UCC)									

I/We request you to open a Trading & Depository account in my/our name as per the below mentioned details and request you to map my/our Client Id so allotted for depository account opened along with my/our trading account as my/our primary depository account and other depository account, if any, mentioned below as my/our additional depository account.

DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> X-Not Categorised <input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> X-Not Categorised <input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> X-Not Categorised <input type="checkbox"/> Others (Please specify; _____)
Brief details			
Please Tick (✓) if Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)

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

TYPE OF ACCOUNT

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Promoter	<input type="checkbox"/> Margin		
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> Others _____

STANDING INSTRUCTIONS

I/We authorise you to receive credits automatically into my/our account (If you do not wish to authorise for credit kindly tick at 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Demat Account to be operated through DDPI / Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No
SMS Alert Facility [Mandatory if you are giving DDPI/PoA. Ensure that the mobile no. is provided in the KYC application form]	
First/Sole Holder <input type="checkbox"/> YES <input type="checkbox"/> NO	Second Holder <input type="checkbox"/> YES <input type="checkbox"/> NO
Third Holder <input type="checkbox"/> YES <input type="checkbox"/> NO	

IN CASE OF NRI's/Foreign National/FII's/OCB/OTHERS (As may be applicable)

RBI Approval Reference No.		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration No. (For FII's)										

DEALINGSTHROUGH OTHERTRADING MEMBERS / AP

If client is dealing through any other Trading Member, provide the following details (in case dealing with multiple Trading Members/AP's, provide details of all in a separate sheet containing all the information as mentioned below:

Member's / AP's Name		Client Code	
Exchange		Exchange Regn. No.	
Concern Members Name with whom the AP is Registered			
Registered Office Address			
City/Town/Village		PIN Code	
State		Country	
Ph.	Fax	Email	Website
Details of disputes/dues pending from/to such Member/AP:			

ADDITIONAL DETAILS

◆ Mode of receiving of Standard documents (Trading & DP) Statement of Account, Contract Note & other documents <input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note & ensure that email id is provided in KYC application form.]			
Specify your Email id, if applicable		E-mail Alert Facility <input type="checkbox"/> Yes <input type="checkbox"/> No	
◆ Whether you wish to avail of the facility of internet trading/ wireless technology		Please specify	
◆ Download for e-mail ID to Issuer / RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No	
◆ 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 <input type="checkbox"/> Company <input type="checkbox"/> Firm <input type="checkbox"/> Others _____			
◆ Whether you wish to Opt-Out the Nomination		<input type="checkbox"/> Yes <input type="checkbox"/> No	
◆ Any other information _____			

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT(S) DETAILS

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

B. DEPOSITORY ACCOUNT(S) DETAILS

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

C. TRADING PREFERENCES *Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE	BSE & NSE
All Segments	Cash / Mutual Fund	F&O

If you do not wish to trade in any of segments / Mutual Fund, please mention here _____.

D. OTHER DETAILS (For Individuals)

- Gross Annual Income Details (please specify):** Income Range per annum: Below Rs 1 Lac / 1-5 Lac / 5-10 Lac / 10-25 Lac / >25 Lacs or **Net-worth** as on (date).
 (_____) (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) 4. Any other information:

E. OTHER DETAILS (For Non-Individuals)

- Gross Annual Income Details (please specify):** Income Range per annum: Below Rs 1 Lac / 1-5 Lac / 5-10 Lac / 10-25 Lac / 25 Lacs-1 crore / > 1 crore
- Net-worth** as on date(dd/mm/yyyy): (Net worth should not be older than 1 year)
- Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:** _____
- DIN/UID of Promoters/Partners/Karta and whole time directors:** _____
- Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole**

Nomination Form for Demat Accounts and Mutual Fund (MF) Folios

Annexure-A

(SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650, date January 10, 2025)

I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account/folio in the event of my / our demise, as trustee and on behalf of my/our legal heir(s)*

Nomination Details

Mandatory Details							Additional Details ***	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

* Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

*** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division/fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI/OCI/PIO, Pass port number is acceptable.

**** to be furnished only in following conditions/ circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

- 1) I / We want the details of my/ our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC/ DP as follows; (please tick, as appropriate)
 Name of nominee(s) Nomination: Yes/ No
- 2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/ She is authorized to encash my assets up to _____% of assets in the account/ folio or Rs. _____. **(Optional)** (strike off portions that are not relevant)
- 3) This nomination shall supersede any prior nomination made by me/ us, if any.
- 4) Signature(s) -As per the mode of holding in demat account(s) / MF folio(s)

Name(s) of holder(s)	Signature(s) of holder/ thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable)*
Sole/First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:




- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC/ DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account/ folio.
- In case all your nominees do not claim the assets from the AMC/ DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account/ folio, in case of your physical incapacitation, at any point of time and not just during opening of account/folio. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
 - 'Either or Survivor' Folios/ Accounts - any one of the holder can sign
 - 'First holder' Folio / Accounts - only First holder can sign.
 - 'Jointly' Folios/ Accounts - both holders have to sign

Transmission aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account details(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/ DP.
- In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

DECLARATION FORM FOR OPTING OUT OF NOMINATION

	Date	D	D	M	M	Y	Y	Y	Y	
<p>To,</p> <p>BAJAJ CAPITAL MARKETS LIMITED (MIID-P2148) formerly known as Just Trade Securities Limited Bajaj House 97, Nehru Place, New Delhi-110019 Ph.: 011-41693000 Email: info@justtrade.in, dp_bcml@bajajcapital.com Website: www.justtrade.in CIN - U67120DL2004PLC130803</p>										
<input type="checkbox"/> I/We wish to opt out of a nomination. [Declaration Form opting out of nomination as prescribed by SEBI]										
UCC (Trading Account)										
DP ID										
Client ID (only for Demat account)										
Sole/First Holder Name										
Second Holder Name										
Third Holder Name										
<p>I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.</p>										
Name and Signature of Holder(s)*										
										
Sole/First Holder Signature	Second Holder Signature							Third Holder Signature		

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

SIGNATURES OF ALL HOLDERS	DECLARATION
Signature of Sole/ First Holder/ Guardian/Karta/ Auth. Signatory	<ol style="list-style-type: none"> 1. I/We hereby declare that the Rules, Regulations and By-laws of the Depository, Depository Participants, SEBI, Stock Exchanges & Stock Broker 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. 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/We am/are aware that I/we may be held liable for it. 2. I/We confirm having read 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) (Depository & Trading) and 'Risk Disclosure Document' (Trading). I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/We hereby acknowledge the receipt of Rights and Obligations of Stock Brokers, Authorised person and Clients (Trading) and also Rights and Obligations of the Beneficial Owner and Depository Participant. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website. 3. I/We hereby declare that the client id allotted to me/us for depository account opened by you as per this application form be mapped with my/our trading account opened as per this application form as my/our primary depository account and other depository account, if any, mentioned above as my/our additional depository account. <p>Place : _____ Date _____</p>
Signature of Second Holder / Auth. Signatory	
Signature of Third Holder / Auth. Signatory	

FOR OFFICE USE ONLY	
UCC Code allotted to the Client	Client ID
<p>I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, for the information of the clients.</p>	
Date :	Signature of the Authorised Signatory of Bajaj Capital markets Limited with Seal & Stamp

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

Bank Proof: Copy of cancelled cheque leaf/pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

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

For Non Individuals: (i) Form need to be initialised by all the authorized Signatories.
(ii) Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities/commodities on behalf of company/firm/others and their specimen signatures.

In-person Verification:

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

NOTES :

1. All communication shall be sent at the address of the Sole/First holder only.
2. 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.
3. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
4. In case of joint account on death of any of the joint holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
5. In case if first holder is selected the communication will be sent as per the preference mentioned in case all joint account holders is opted, communication to first holder will be sent as per preference and communication to other holders will be in electronic mode. The default option will be communication to first holder if no option selected.
6. Strike off whichever is not applicable.

Policy Framework for Voluntary Freezing/Blocking of Online Trading Account Access for Clients

Version I Dated April 09, 2024

I. INTRODUCTION

In an effort to enhance the ease of business operations and investment activities for investors, and to safeguard investors from suspicious activities, SEBI, through its circular ref. No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, has mandated a framework for stock exchanges. This framework requires Trading Members to provide clients with the facility to voluntarily freeze/block online access to their trading accounts. Consequently, stock exchanges have issued circulars detailing this framework. In line with these directives, the following policy has been formulated for the voluntary freezing/blocking of trading accounts.

Whenever client of BCML notice any suspicious activities in their online trading account and/or suspect that login credential of their trading account are breached/hacked and there is an urgent need to address the situation and block/freeze the access and/or activities in their trading account, the client can choose any of the following mode of communication to intimate/send a request to BCML for Voluntary Freezing/Blocking of their online Trading Account..

2. SCOPE AND REVIEW OF POLICY

This policy shall be applicable as and when clients require to freeze / block online access to their trading account and subsequently desires to unfreeze the same.

The model of this policy consists of all employees who are directly, indirectly dealing with clients' needs to understand and follow the policy to avoid unwanted suspicious activities in client's trading account

3. FRAMEWORK FOR VOLUNTARY FREEZING OF ONLINE ACCESS OF CLIENT'S TRADING ACCOUNT

a) REQUEST FOR FREEZING

- i. Client may request for voluntary freezing /blocking the online access to their trading account through two modes of communication of the following modes shall be made-
 - Email from registered mail id to stoptrade@justtrade.in
 - IVR by calling on this Customer Care Number: 180030009000.

B) FOLLOWING ACTIONS ON THE RECEIPT OF REQUEST THROUGH ANY MODES OF COMMUNICATIONS AS PROVIDED BY US FOR FREEZING/BLOCKING OF THE ONLINE ACCESS OF THE TRADING ACCOUNT FROM THE CLIENT

- i. Validate that the request is received from the client as per below point no. 4 and issue the acknowledgement as well as freeze/block the online access of the client's trading account and simultaneously cancel all the pending orders of the said client. The timelines for freezing/blocking of the online access of the clients' trading account is as under: -

Scenario	Timelines for issuing acknowledgement as well as freezing/blocking of the online access of the Trading account.
Request received during the trading hours and within 15 minutes before the start of trading.	Within 15 minutes
Request received after the trading hours and 15 minutes before the start of trading	Before the start of next trading session

- ii. Post freezing/blocking the client's trading account, send a communication on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process for re-enablement forgetting the online access to the trading account.
- iii. Details of open positions (if any) should also be communicated to the client along with contract expiry information within one hour from the freezing/blocking of the trading account. This will eliminate the risk of unwanted delivery settlement. This time limit shall be contracted after a review in the next six months after the date of its applicability to enhance protection of investors from suspicious activities.

4. The Trading Member shall have a mechanism in place to validate that the request for freezing/blocking of the online access of the trading account is received from the respective client only. This can be done by the Trading Member by:

- a. verifying whether request is received from the registered phone number/e-mail Id of the client; or where request is received from other than registered phone number/e-mail Id of the client, the Trading Member should have a client authentication procedure (2 Factor Authentication) in place or
 - b. Following any other process as may be prescribed by the Exchange(s) uniformly in consultation with SEBI, from time to time.
5. The Trading Member shall maintain the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients.
6. Re-enabling the client for online access of the trading account: - The Trading Member shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request by mail or IVR and unfreezing/unblocking the online access of the trading account
- 7. Further, it is clarified that:**
- a) Freezing/ blocking is only for the online access to the client’s trading account, and there shall be no restrictions on the Risk Management activities of Share India Securities Limited.
 - b) The request for freezing/ blocking does not constitute request for making Unique Client Code (UCC) as inactive in the Exchange records.

Note: In case of statutory/ regulatory amendments from time to time, the policy can be internally reviewed and updated to comply with the new amendments.

Signature 

Client Name

Date - -

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

Declaration for availing of Basic Services Demat Account (BSDA) facility

To,
Bajaj Capital Market Limited,
 DP ID: IN304797
 Bajaj House, 97, Nehru Place , New Delhi-110019.

Dear Sir/Madam

Date:

- I / We wish to avail the BSDA facility for my/our below mentioned New/Existing Demat Account.
 I / We do not wish to avail the BSDA facility for my/our below mentioned New/Existing Demat Account.

DP ID	I	N	3	0	4	7	9	7
Client ID*								

	Name	PAN
Sole/First Holder		
Second Holder		
Third Holder		

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/we also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first / Sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

	Signature
Sole/First Holder	
Second Holder	
Third Holder	

..... (Please Tear Here)

Received BSDA declaration form from:

DP ID	I	N	3	0	4	7	9	7	Client ID							
Name																
Address																

Signature _____ Client Name

Date - - Client Code

Place

POLICY ON HANDLING OF GOODS TILL CANCELLED – BCML

To,
Bajaj Capital Market Limited,
 DP ID: IN304797
 Bajaj House, 97, Nehru Place , New Delhi-110019.

BACKGROUND

This policy outlines the procedures and guidelines for handling Good till Cancelled (GTC) and similar types of orders offered by our firm to clients. This policy is formulated in compliance with the National Stock Exchange of India Limited (NSE) Circular Ref. No: NSE/INSP/62528 dated June 21, 2024 and NSE /INSP/63789 dated September 06, 2024 and aims to ensure consistency, transparency, and protection of investor interests.

SCOPE

This policy applies to all clients of who use GTC orders or similar types of orders. It details the validity of such orders, their handling in case of corporate actions, and communication protocols to clients.

ORDER VALIDITY:

A GTC order will stay active up to 90 days after which the order automatically expires if not executed or the investor cancels it.

HANDLING OF GTD ORDERS DURING CORPORATE ACTIONS

Handling of Orders During Corporate Actions In the event of corporate actions (e.g., stock splits, mergers), the handling of GTC will follow these protocols:
 No handling will be done by BCML, and the clients need to monitor and will be solely responsible for effect on prices and triggers based on stock / underlying specific corporate actions. Clients shall review their GTT orders pro-actively whenever there may be an impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

INTEGRATION WITH ACCOUNT OPENING DOCUMENTS


The policy will be included in the Account Opening Form/Kit under the heading "Policy on Handling of Good till Cancelled Orders of Client" .The policy will be made available to clients.

POLICY COMMUNICATION TO EXISTING CLIENTS

Existing clients will be informed of this policy via email or other suitable mechanisms. If the initial communication is undelivered, alternative channels will be employed to ensure receipt.

REVIEW POLICY:

This policy is approved by Board of Directors and will be reviewed annually or as required in response to regulatory changes.

Signature		Client Name	
Date	- -	Client Code	
		Place	

VOLUNTARY DOCUMENTS

VOLUNTARY AGREEMENT

VOLUNTARY

This Voluntary Agreement (hereinafter referred to as Agreement) is made and executed at..... this.....day of....., 20..... between M/s. Bajaj Capital Markets Limited (Just Trade Securities 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 Agreement 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 Agreement 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 Agreement, 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 interchangeable 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 Agreement or any other deed/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 Agreement;
- 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.
- l. 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) (www.nseindia.com) or (www.bseindia.com) or SEBI (www.sebi.gov.in) or Bajaj Capital Markets 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 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 by the 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)

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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 Broker has to use softwares and hardwares/machines etc. Client understand 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 fullproof 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 fullproof/glitch/bug free performance always. Their operations can also be effected due to software viruses etc. which may interalia 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-moto without giving any reason thereof. There may be insufficient bids or offers or suspension of trading due to price limits or circuit breakers. The electronic trading systems either at the 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 Agreement 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 mentioned terms..
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 agrees that the Broker fulfills its legal obligation to deliver to the Client any such document, if sent via electronic delivery or otherwise. 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, 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 on receipt of any such document. 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 nonreceipt of the contract notes/ trade confirmations and other documents due to change in correspondence address / e mail address of the Client not intimated to the broker in writing. 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.
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 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. 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.
 26. 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.
 27. 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.
 28. 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.
 29. 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.
 30. 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.
 31. 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.
 32. 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.
 33. 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.
 34. In connection with these terms, as well as all transactions contemplated 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 these terms shall be read as part and parcel of authorisations.
 35. 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 these terms or in relation thereof or as consequences thereof is and shall always be true to the best of information and knowledge of the Client.
 36. The Client agrees that mere acceptance of these terms and conditions , 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).
 37. 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.
 38. 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).
 39. 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 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 received 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 received 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.

40. 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.
41. 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 these terms, the Client agrees that the choice of specific securities to be sold shall be solely at the Broker's discretion.
42. The Client hereby agrees and accepts that notwithstanding anything to the contrary in these terms 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.

43. 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.
44. 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.
45. 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.
46. 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.
47. 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 upto 20% per annum.
48. 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.
49. 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.
50. 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.
51. 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

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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.

- 52. 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.
- 53. 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/BSE.

- 54. These terms 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
- 55. The Client confirms having read and accepted the terms and conditions and accepts and agrees to be bound by them including those excluding/limiting Broker's liabilities.
- 56. The Client agrees that the failure of Broker to enforce at any time any terms contained herein shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.
- 57. If any of these terms and conditions 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 terms and conditions shall not be affected thereby and these terms shall be carried out as if any such invalid / unenforceable terms were not contained herein.

Client confirms having read and accepted all the terms and conditions of this document titled 'Voluntary Agreement' inter-alia comprising of clauses 1 to 57 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 Agreement have caused these presents to be executed as of the day and year first above written.

Signed and Delivered by
BAJAJ CAPITAL MARKETS LIMITED

Authorised Signatory

1st Witness

Name

Signature

Address

PIN Code

Signed and Delivered by
Client- Name and Signature

Client Name

Signature

2nd Witness

Name

Signature

Address

PIN Code

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

DEMAT DEBIT AND PLEDGE INSTRUCTION ("DDPI")

To
BAJAJ CAPITAL MARKETS LIMITED
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019

Date :













SUBJECT : DEMAT DEBIT PLEDGE INSTRUCTION (DDPI) AUTHORISATION

UCC: _____

I/We agree to the terms and purpose of this DDPI document between Mr./Ms. _____ (First Holder) _____ (Second holder) and _____ (Third holder); an individual/body of individuals/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 2013, or any relevant Act or unregistered in nature; and Bajaj Capital Markets Limited (Just Trade Securities Limited) (hereinafter referred to as "BCML"), a Company within the meaning of Companies Act, 2013 with its registered office at Bajaj Capital Markets Limited Regd. Office 97 Bajaj House Nehru Place New Delhi 110019, India;

Whereas:

- (a) I/We have established a business relationship with BCML to avail services w.r.t trading, investing & other services offered by BCML, having a DP ID IN304797, & Client ID _____.
- (b) This DDPI document shall be in line with SEBI Circular no. SEBI/HO/MIRSD/DOP/P/CIR/2022/44 dated April 04, 2022, as may be updated from time to time, & I agree to the below two points :-

S.No	Purpose	Purpose		
		First Holder	Second Holder	Third Holder
1.	I/We agree and permit BCML to transfer any securities held in my beneficial owner account towards any Exchange (any SEBI Recognized Exchanges where BCML is a member) related deliveries / settlement obligations arising out of trades executed by me/us on the Exchanges through BCML;			
2.	I/We agree and confirm to allow pledging / re-pledging of securities in favour of BCML and the clearing member (CM) with whom BCML is a member of, for the purpose of meeting my/our margin requirements in connection with the trades executed by me/us on the Exchanges.			
3.	I/We agree and confirm to allow to BCML for Mutual Fund transactions being executed on Stock Exchange order entry Platforms.			
4.	I/We agree and permit BCML Tendering shares in open offers through Stock Exchange platforms			



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

DECLARATION FOR EMAIL ID/MOBILE NUMBER

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

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

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

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

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

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

Sole/First Holder Signature

Second Holder Signature

Third Holder Signature

To,
BAJAJ CAPITAL MARKETS LIMITED
 formerly known as Just Trade Securities Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019

I/We are dealing through you as a client in Capital Market and/or Future & Option segment in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite 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 as specified by the Exchanges from time to time.

I/We understand and agree that no interest will be payable to me/us on the funds so retained by you.

I/We further agree and empower/authorize you:

- a. To act in your discretion of merging balances kept under various accounts held with you, such as DP Account, CM Trading Account, F&O Trading Account to nullify the debit in any of my/our other account held with you without taking any further instructions from me/us.
- b. To debit my/our trading account towards depository/warehouse charges payable by me/us.

It is understood that the "Actual settlement of funds" shall be done by you at least once in monthly or Quarterly. While settling the account you will be sending me/us a 'statement of account', containing an extract from the client ledger for funds displaying all receipts/payments of funds. The statement shall also explain the retention of funds and the details of the pledge, if any. Such periodic settlement of running account shall not be necessary for funds lying in margin trading facilities account when I/We start availing margin trading facility as per SEBI circulars. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals.

I/We will bring any discrepancy or dispute arising from the Statement of account so issued by you or the settlement made by you to your notice preferably within 30 working days from the date of receipt of funds or statement as the case may be.

I/We understand that, unless otherwise required to meet my obligations for margin or on settlement you shall transfer the funds/securities/commodities lying with you in credit of my/our account within one working day and those lying with the Clearing Member or Clearing Corporation within three working days of my/our request for transfer.

I/We have the liberty to revoke this authorization at any time in writing with prospective effect. This authorization is subject to changes as prescribed by the Stock Exchange(s) /SEBI from time to time.

My/Our preference for actual settlement of funds is at least: Once in a Calender Quarter Once in a Calender Month

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 FOR ELECTRONIC CONTRACT NOTES **VOLUNTARY**

To,
BAJAJ CAPITAL MARKETS LIMITED
 formerly known as Just Trade Securities Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019

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.]

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

To, **VOLUNTARY**
BAJAJ CAPITAL MARKETS LIMITED
 formerly known as Just Trade Securities Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019

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, 1956/2013 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 Markets Limited (referred to as “BCML”) 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 fullfilled 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 BCML.
 Furthermore, the aforesated authority conferred as above shall subsist even after the termination of the aforesated fullfilled KYC with BCML until all obligations under the said arrangement are satisfied fully by me/us.

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.]

VERBAL ORDER ACCEPTANCE AUTHORISATION **VOLUNTARY**

To,
BAJAJ CAPITAL MARKETS LIMITED
 formerly known as Just Trade Securities Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019

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 _____ Client Name _____
 Date _____

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

AUTHORISATION FOR DEBITING DEMAT ACCOUNT OPERATING CHARGES **VOLUNTARY**

To,
BAJAJ CAPITAL MARKETS LIMITED
 formerly known as Just Trade Securities Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019

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 Participant Services provided by you and/or on account of Depository Participant Services provided by any other Depository Participant(s) 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"/> NSDL	_____	_____

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.]

SMS SERVICE REGISTRATION FORM

VOLUNTARY

To,
BAJAJ CAPITAL MARKETS LIMITED
 formerly known as Just Trade Securities Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019

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 Markets Limited (hereinafter referred as BCML) 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. BCML, 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"/>	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

STANDING INSTRUCTIONS

VOLUNTARY

To,
BAJAJ CAPITAL MARKETS LIMITED
 formerly known as Just Trade Securities Limited
 Regd. Office: Bajaj House 97, Nehru Place, New Delhi-110019

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	<input type="text"/>	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.]




Option for Issue of DIS booklet (please tick any one)

Option 1

I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening

Option 2

I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date.

Beneficial Owner	Name	Signature with date
Sole/ First Holder		
Second Holder		
Third Holder		

INVESTOR CHARTER – STOCK BROKERS

BAJAJ CAPITAL MARKETS LIMITED

VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

MISSION

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.
- v) To ensure confidentiality of information shared by investors unless such information is required to be provided in furtherance of discharging legal obligations or investors have provided specific consent to share such information.

SERVICES PROVIDED TO INVESTORS BY STOCKBROKERS INCLUDE

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Periodic Settlement of client's funds.
- Issuance of retention statement of funds at the time of settlement.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. relevant Market infrastructure Institutions (MII) circulars.
- Provide a copy of Rights and Obligations document to the client.
- Communicating Most Important terms and conditions (MITC) to the client.
- Redressal of Investor's grievances.

RIGHTS OF INVESTORS

- I. Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself (including website providing mandatory information).
- II. Receive complete information about the risks, obligations, and costs of any investment before investing.
- III. Receive a copy of all completed account forms and rights & obligation document.
- IV. Receive a copy of 'Most Important Terms & Conditions' (MITC).
- V. Receive account statements that are accurate and understandable.
- VI. Understand the terms and conditions of transactions you undertake.
- VII. Access your funds in a prescribed manner and receive information about any restrictions or limitations on access.
- VIII. Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties in form of tariff sheet.
- IX. Discuss your grievances with compliance officer / compliance team / dedicated grievance redressal team of the firm and receive prompt attention to and fair consideration of your concerns.
- X. Close your zero balance accounts online with minimal documentation
- XI. Get the copies of all policies (including Most Important Terms and Conditions) of the broker related to dealings of your account
- XII. Not be discriminated against in terms of services offered to equivalent clients
- XIII. Get only those advertisement materials from the broker which adhere to Code of Advertisement norms in place
- XIV. In case of broker defaults, be compensated from the Exchange Investor Protection Fund as per the norms in place
- XV. Trade in derivatives after submission of relevant financial documents to the broker subject to brokers' adequate due diligence.
- XVI. Get warnings on the trading systems while placing orders in securities where surveillance measures are in place
- XVII. Get access to products and services in a suitable manner even if differently abled
- XVIII. Get access to educational materials of the MIIs and brokers
- XIX. Get access to all the exchanges of a particular segment you wish to deal with unless opted out specifically as per Broker norms
- XX. Deal with one or more stockbrokers of your choice without any compulsion of minimum business
- XXI. Have access to the escalation matrix for communication with the broker
- XXII. Not be bound by any clause prescribed by the Brokers which are contravening the Regulatory provisions.

VARIOUS ACTIVITIES OF STOCK BROKERS WITH TIMELINES

S. No.	Activities	Expected timelines
1.	KYC entered into KRA System and CKYCR	3 working days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of Contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	First Friday/Saturday of the month/quarter as per exchange pre-announced schedule
10.	Statement of Accounts ¹ for Funds, Securities and Commodities	Monthly basis
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	21 calendar days from the receipt of the complaint

DOs and DON'Ts for Investors

<ol style="list-style-type: none"> 1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes. 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions. 6. If executed, receive a copy of Demat Debit and Pledge Instruction (DDPI) However, DDPI is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting DDPI, carefully examine the scope and implications of powers being granted. 7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT/CTT etc. as applicable, separately, within 24 hours of execution of trades. 8. Receive funds and securities/ commodities on time, as prescribed by SEBI or exchange from time to time. 9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges. 10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (Monthly or Quarterly). 11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines. 12. Retain documents for trading activity as it helps in resolving disputes, if they arise. 	<ol style="list-style-type: none"> 1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form. 4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system. 5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker. 6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed. 7. Do not opt for digital contracts, if not familiar with computers. 8. Do not share trading password. 9. Do not fall prey to fixed / guaranteed returns schemes. 10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits. 11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments
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Grievance Redressal Mechanism

The process of investor grievance redressal is as follows:

1.	Investor Complaint / Grievances	<p>Investor can lodge complaint/grievance against stock broker in the following ways:</p> <p>Mode of filing the complaint with stock broker</p> <p>Investor can approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance.</p> <p>Mode of filing the complaint with stock exchanges</p> <p>i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (https://scores.sebi.gov.in)</p> <p>Two level review for complaint/grievance against stock broker:</p> <ul style="list-style-type: none"> • First review done by Designated body/Exchange • Second review done by SEBI <p>ii. Emails to designated email IDs of Exchange</p>
2.	Online Dispute Resolution(ODR) platform for online Conciliation and Arbitration	<p>If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration</p>
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ol style="list-style-type: none"> 1. Investor to approach Market Participant for redressal of complaint. 2. If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options: <ol style="list-style-type: none"> i. May escalate the complaint on SEBI SCORES portal. ii. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. 3. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days. 4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation. 5. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute. 6. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. 7. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.

Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)

Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim forms for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.
- Standard Operating Procedure (SOP) for handling of Claims of Investors in the Cases of Default by Brokers
- Claim processing policy against Defaulter/Expelled members
- List of Defaulter/Expelled members and public notice issued

INVESTOR CHARTER
BAJAJ CAPITAL MARKETS LIMITED

VISION

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

MISSION

- To hold securities of investors in dematerialized form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

DETAILS OF BUSINESS TRANSACTED BY THE DEPOSITORY AND DEPOSITORY PARTICIPANT (OP)

A Depository is an organization which holds securities of investors in electronic form. Depositories provideservicestovariousmarketparticipants-Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [<https://nsdl.co.in/dpsch.php>]

DESCRIPTION OF SERVICES PROVIDED BY THE DEPOSITORY THROUGH DEPOSITORY PARTICIPANTS (DP) TO INVESTORS

(1) **Basic Services**

Sr. No.	Brief about the activity/service	Expected timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of Securities	7 Days
2.	Rematerialization of Securities	7 Days
3.	Mutual Fund Conversion / Destatementization	5 Days
4.	Reconversion / Restatementization of Mutual Fund Units	7 Days
5.	Transmission of Securities	7 Days
6.	Registering Pledge Request	15 Days
7.	Closure of Demat Account	30 Days
8.	Settlement Instruction	For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions upto 6:00 p.m.) on T day for pay-in of securities. For T+0 day settlements, participants shall accept FPI instructions from the clients, till 11:00 AM on T day Note: 'T' refers 'Trade Day'

(2) **Depositories provide special services like pledge, hypothecation, internet based services etc. In addition to their core services and these include**

Sr. No.	Type of Activity / Service	Brief about the Activity / Service
1.	Value Added Services	Depositories also provide value added services such as: a. Basic Services Demat Account(BSDA) [link to be provided by Depositories] ¹ b. Transposition cum dematerialization [link to be provided by Depositories] ² c. Linkages with Clearing System [link to be provided by Depositories] ³ Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.

2.	Consolidated Account Statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions) .
3.	Digitalisation of Services provided by depositories	<p>Depositories offer below technology solutions and e facilities to their demat account holders through DPs:</p> <ol style="list-style-type: none"> E-account opening: Details available on the link [link to be provided by Depositories]⁴ Online instructions for execution: Details available on the link [link to be provided by Depositories]⁵ e-DIS / Demat Gateway: Details available on the link [link to be provided by Depositories]⁶ e-CAS facility: Details available on the link [link to be provided by Depositories]⁷ Miscellaneous services: Details available on the link [link to be provided by Depositories]⁸

DETAILS OF GRIEVANCE REDRESSAL MECHANISM

The Process of investor grievance redressal

I.	Investor Complaint/ Grievances	<p>Investor can lodge complaint/ grievance against the Depository/DP in the following ways:</p> <ol style="list-style-type: none"> Electronic mode - <ol style="list-style-type: none"> SCORES 2.0 (a web based centralized grievance redressal system of SEBI) [link to be provided by Depositories] Two Level Review for complaint / grievance against DP: -First review done by Designated Body -Second review done by SEBI Respective Depository's web portal dedicated for filing of complaint [link to be provided by Depositories] Offline Mode [details of link to the form to be provided by depositories] <p>The Complaints / Grievances lodged directly with the Depository shall be resolved within 21 days.</p>
I.	Online Dispute Resolution (ODR) platform for online conciliation and Arbitration	<p>If the Investor is not satisfied with the resolution provided by DP or other market participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. [SMARTODR link to be provided by Depositories]</p>
I.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ul style="list-style-type: none"> Investor to approach Market Participant for redressal of complaint If investor is not satisfied with response of Market Participant, he/she can escalate the complaint on SEBI SCORES portal. Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days. If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.

GUIDANCE PERTAINING TO SPECIAL CIRCUMSTANCES RELATED TO MARKET ACTIVITIES: TERMINATION OF THE DEPOSITORY PARTICIPANT

Sr. No.	Type of special circumstances	Timelines for the Activity/ Service
3.	<ul style="list-style-type: none"> • Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges. • Participant surrenders the participation by its own wish. 	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

DOS AND DON'TS FOR INVESTORS [LINK TO BE PROVIDED BY THE DEPOSITORIES]

Sr. No.	Guidance
I.	Always deal with a SEBI registered Depository Participant for opening a demat account.
II.	Read all the documents carefully before signing them.
III.	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
IV.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
V.	<p>Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips.</p> <p>Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders.</p> <p>Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s).</p> <p>Do not leave your instruction slip book with anyone else.</p> <p>Do not sign blank DIS as it is equivalent to a bearer cheque.</p>
VI.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
VII.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
VIII.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
IX.	Do not share password of your online trading and demat account with anyone.
X.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
XI.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
XII.	Demat is mandatory for any transfer of securities of Listed public limited companies.
XIII.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.sebi.gov.in
XIV.	Keep a record of documents signed, DIS issued and account statements received.
XV.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
XVI.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
XVII.	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
XVIII.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.

XIX.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
XX.	Beware of assured/fixed returns.

RIGHTS OF INVESTORS [LINK TO BE PROVIDED BY THE DEPOSITORIES]

- i. Receive a copy of KYC, copy of account opening documents.
- ii. No minimum balance is required to be maintained in a demat account.
- iii. No charges are payable for opening of demat accounts.
- iv. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
- v. You can open more than one demat account in the same name with single DP/ multiple DPs.
- vi. Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
- vii. Pledge and /or any other interest or encumbrance can be created on demat holdings.
- viii. Right to give standing instructions with regard to the crediting of securities in demat account.
- ix. Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
- x. In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.
- xi. Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
- xii. Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.
- xiii. Right to indemnification for any loss caused due to the negligence of the Depository or the participant.
- xiv. Right to opt out of the Depository system in respect of any security .

RESPONSIBILITIES OF INVESTORS [LINK TO BE PROVIDED BY THE DEPOSITORIES]

- i. Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- ii. Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- iii. Read all documents and conditions being agreed before signing the account opening form.
- iv. Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- v. Always mention the details like ISIN, number of securities accurately.
- vi. Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- vii. Regularly verify balances and demat statement and reconcile with trades / transactions.
- viii. Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- ix. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/ securities promising huge profits.

CODE OF CONDUCT FOR DEPOSITORIES [LINK TO BE PROVIDED BY THE DEPOSITORIES](PART D OF THIRD SCHEDULE OF SEBI (D & P) REGULATIONS, 2018)

A Depository shall:

- (a) always abide by the provisions of the Act, Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
- (b) adopt appropriate due diligence measures.
- (c) take effective measures to ensure implementation of proper risk management framework and good governance practices.
- (d) take appropriate measures towards investor protection and education of investors.
- (e) treat all its applicants/members in a fair and transparent manner.
- (f) promptly inform the Board of violations of the provisions of the Act, the Depositories Act, 1996, rules, regulations, circulars, guidelines or any other directions by any of its issuer or issuer's agent.

- (g) take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of depository's systems and the securities market.
- (h) endeavor for introduction of best business practices amongst itself and its members.
- (i) act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.
- (j) not indulge in unfair competition, which is likely to harm the interests of any other Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
- (k) segregate roles and responsibilities of key management personnel within the depository including
 - a. Clearly mapping legal and regulatory duties to the concerned position
 - b. Defining delegation of powers to each position
 - c. Assigning regulatory, risk management and compliance aspects to business and support teams .
- (l) be responsible for the acts or omissions of its employees in respect of the conduct of its business.
- (m) monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.

Code of Conduct for Participants [link to be provided by the Depositories] (Part A of Third Schedule of SEBI (D & P) regulations, 2018)

1. A participant shall make all efforts to protect the interests of investors.
2. A participant shall always endeavour to—
 - (a) render the best possible advice to the clients having regard to the client's needs and the environments and his own professional skills;
 - (b) ensure that all professional dealings are effected in a prompt, effective and efficient manner;
 - (c) inquiries from investors are adequately dealt with;
 - (d) grievances of investors are redressed without any delay.
3. A participant shall maintain high standards of integrity in all its dealings with its clients and other intermediaries, in the conduct of its business.
4. A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialisation request form, rematerialisation request form and execution of debit instruction slip and in all the other activities undertaken by him on behalf of the beneficial owners.
5. A participant shall endeavour to resolve all the complaints against it or in respect of the activities carried out by it as quickly as possible, and not later than one month of receipt.
6. A participant shall not increase charges/fees for the services rendered without proper advance notice to the beneficial owners.
7. A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.
8. A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capability to render certain services or about its achievements in regard to services rendered to other clients.
9. A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorisation of the clients or when it is required to disclose the information under the requirements of any Act, Rules or Regulations.
10. A participant shall co-operate with the Board as and when required.
11. A participant shall maintain the required level of knowledge and competency and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003.
12. A participant shall not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to the Board.
13. A participant shall not neglect or fail or refuse to submit to the Board or other agencies with which it is registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/requested from time to time.
14. A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or non-compliance by it, of any law, Rules, regulations, directions of the Board or of any other regulatory body.
15. A participant shall maintain proper inward system for all types of mail received in all forms.
16. A participant shall follow the maker—Checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorised transaction.
17. A participant shall take adequate and necessary steps to ensure that continuity in data and record keeping is maintained and that the data or records are not lost or destroyed. It shall also ensure that for electronic records and data, up-to-date back up is always available with it.
18. A participant shall provide adequate freedom and powers to its compliance officer for the effective discharge of his duties.
19. A participant shall ensure that it has satisfactory internal control procedures in place as well as adequate financial and operational capabilities which can be reasonably expected to take care of any losses arising due to theft, fraud and other dishonest acts, professional misconduct or omissions.

20. A participant shall be responsible for the acts or omissions of its employees and agents in respect of the conduct of its business.
21. A participant shall ensure that the senior management, particularly decision makers have access to all relevant information about the business on a timely basis.
22. A participant shall ensure that good corporate policies and corporate governance are in place.

FOR OFFICE USE ONLY

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

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

SOURCED BY :

Channel :	
Region :	
Zone :	
Branch/Unit Name:	
RM Name :	
RM Business Code :	
Mobile No. :	
E-mail ID :	



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