Account Opening Form

JAINAM
Prosperity with Security

CORPORATE






















Jainam Broking Limited

Jainam House, New Passport Office Road, Piplod, Surat - 395007
Contact: +91 261 6725555, 2305555 E-mail: corp@jainam.in Web: www.jainam.in
Member: BSE, NSE, MCX, NCDEX, CDSL, MSEI

INDEX PAGE

No.	Document	Brief Significance of the Document	Page
Mandatory documents as prescribed by SEBI & Exchanges			
1.	Account Opening Form	a) KYC form - Document captures the basic information about the First / Sole Holder	1 - 2
		b) KYC form - Document captures the basic information about the Second Holder	3 - 4
		c) KYC form - Document captures the basic information about the Third Holder	5 - 6
		d) Document captures the additional information about the client relevant to trading account	7 - 9
		e) Document detailing the rate / amount of brokerage & other charges levied on the client for trading on the stock exchange(s)	10
		f) Investor's Grievance Contact Details	11
		g) Nomination Form (For Trading)	12
		h) Instruction / Check List for filling up the AOF	13 - 17
2.	Rights & Obligations	Document stating the Rights & Obligations of stock broker / trading member, sub-broker & client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading & SLBM segments)	18 - 34
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	35 - 40
4.	Guidance Notes	Document detailing Do's & Don'ts for trading on exchange, for the education of the investors	41 - 43
5.	Policies & Procedures	Document describing significant policies & procedures of the stock broker	44 - 47
Documents for opening a Demat Account			
6.	Demat Account Form	a) Type of Demat Account & Various Options	49
		b) DP Tariff Sheet: Document dealing various charges that shall be levied for Demat Account	50
		c) Multiple Nomination Facility (Demat)	51 - 54
		d) Rights & Obligations of DP & BO	55 - 58
		e) Annexure 2.4 (SMART: Terms & Conditions for receiving SMS Alerts from CDSL	59 - 61
		f) Annexure 2.6 (Terms & Conditions for availing TRUST Service offered by CDSL)	62 - 64
Voluntary Documents			
7.		a) DDPI - Demat Debit and Pledge Instruction	65 - 67
		b) Limited Purpose POA: Agreement Granting Limited Purpose POA to the Stock-broker for operating the Demat Account	68
		c) Electronic Contract Note (ECN) - Declaration	69
		d) Running Account Authorisation & Settlement of Funds & Securities	70
		e) Telephonic Instruction / Voice Logger / SMS Facility / Authority Letter / Demat Charges Authorization / Internet Mobile Based Application	71
		f) Revocation of Authorizations / Opting out of BSDA Facility	72

SEBI Registration Details

Segment	Registration Number	Date
Stock Broking	INZ000198735	11th September 2018
Depository Participant	IN-DP-CDSL-223-2016	8th March 2016

KNOW YOUR CLIENT (KYC) REGISTRATION AUTHORITY

CORPORATE / LLP

IDENTITY DETAILS

Please fill in **ENGLISH** and in **BLOCK LETTERS** with black ink

(Please write complete name as per Certificate of Incorporation / Registration. Do not abbreviate the Name). (As appearing in PAN Card)

Name			
Date of Incorporation	D D - M M - Y Y Y Y	Place of Incorporation	
PAN		Registration No.	
Date of Commencement of Business	D D - M M - Y Y Y Y		
Status	○ Private Ltd. Co. ○ Public Ltd. Co. ○ Body Corporate ○ Partnership ○ Trust / Charities / NGOs ○ FI ○ FII ○ HUF ○ AOP ○ Bank ○ Government Body ○ Non-Government Organization ○ Defence Establishment ○ Body of Individuals ○ Society ○ LLP ○ Others (Please specify) _____		

CONTACT DETAILS

Tel (Res)		Tel (Office)	
Mobile	9 1	E-mail ID	

ADDRESS DETAILS

Correspondence Address		Registered Office Address	
City	State	City	State
Country India / _____	PIN	Country India / _____	PIN

Proof provided for Correspondence Address	
○ Latest Bank Statement / Telephone (Only Land Line) / Electricity ○ Registered Lease / Sale Agreement of Office Address ○ Others Not more than 3 Months old.	**Validity / Expiry date of proof of address submitted** D D - M M - 2 Y

Proof provided for Registered Office Address	
○ Latest Bank Statement / Telephone (Only Land Line) / Electricity ○ Registered Lease / Sale Agreement of Office Address ○ Others Not more than 3 Months old.	Validity / Expiry date of proof of address submitted D D - M M - 2 Y

OTHER DETAILS

Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/Whole-time Directors	As per Annexure Attached
Any other information	

DECLARATION

We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it.

Place _____ Date D D - M M - 2 0 Y

1/17

(Authorised Signatory with Stamp)

ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☑ Self Attested Certified Copies ☑ Verified with Originals by ○ Employee ○ Authorised Person

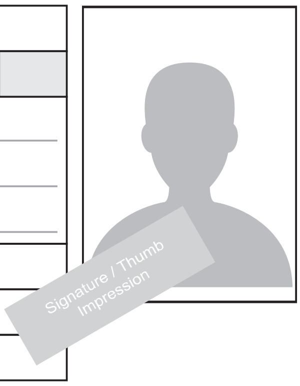
Signature				Date	D D - M M - Y Y Y Y
Name					
Code		Designation		Branch	

AMC / INTERMEDIARY NAME AND CODE

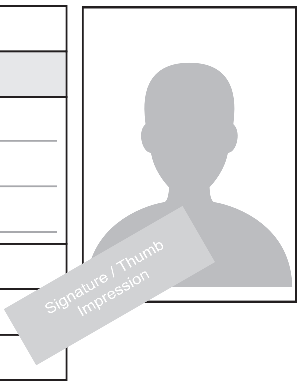
Name	Jainam Broking Limited	POS Code	1200002001

Seal/Stamp

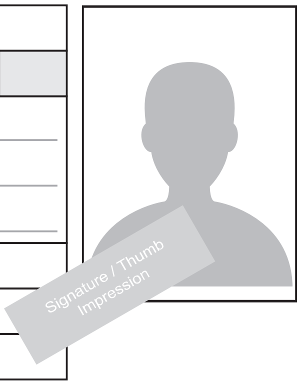
Name			
PAN		Aadhaar	
Address			
City / Town / Village		State	
PIN		Country	India / ______________
Relationship with Applicant	Partner		



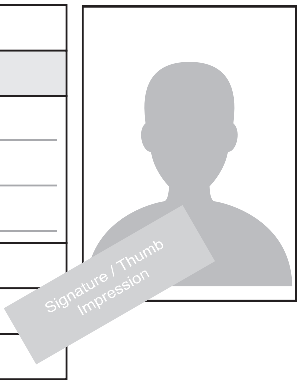
Name			
PAN		Aadhaar	
Address			
City / Town / Village		State	
PIN		Country	India / ______________
Relationship with Applicant	Partner		



Name			
PAN		Aadhaar	
Address			
City / Town / Village		State	
PIN		Country	India / ______________
Relationship with Applicant	Partner		



Name			
PAN		Aadhaar	
Address			
City / Town / Village		State	
PIN		Country	India / ______________
Relationship with Applicant	Partner		



Date D D - M M - 2 0 _ Y

2/17

(Authorised Signatory with Stamp)

PART - B

Income Range *(per annum)* *(Tick Whichever is Applicable)*	◯ Upto ₹ 1,00,000/- ◯ ₹ 1,00,001/- to ₹ 5,00,000/- ◯ ₹ 5,00,001/- to ₹ 10,00,000/- ◯ ₹ 10,00,001/- to ₹ 25,00,000/- ◯ ₹ 25,00,001/- to ₹ 100,00,000/- ◯ Above ₹ 100,00,000/-
Networth *(Not Older than 1 Month)*	₹ *as on* D D - M M - 2 0 Y Y

BANK DETAILS

Bank Name		Branch	
Address			
Account Type	◯ Saving ◯ Current ◯ Other	MICR Code *(9 digit)*	
Account No.		IFSC Code *(11 digit)*	

EQUITY DEMAT DETAILS

No.	Def.	DP Name	DP ID / Client ID

COMMODITY DEMAT DETAILS

CP	CP Name	CP ID / Client ID
NERL		
COMRIS		

COMMUNICATION MODE

Any changes in e-mail ID need to be communicated to the broker through a physical letter

Contract Note / Margin Statement / Ledgers / Bills Delivery Mode	○ Physical ○ Electronic
If Electronic mode, provide E-mail ID	As mentioned in KYC Basic Details Form

Number of years of Investment / Trading experience			
Are you	A Politically Exposed Person (PEP) ?	○ Yes ○ No	
	Related to Politically Exposed Person (PEP) ?	○ Yes ○ No	
Avail Internet Trading / Wireless Technology Facility		○ Yes ○ No	
Purpose and intended nature of the business relationship *(as per PMLA requirement)*		○ Investment ○ Trading ○ Hedging ○ Speculation ○ Others _____	

(For ECN in Commodity Segment, please refer Voluntary Section)

UNIQUE MOBILE NUMBER & E-MAIL ID

Pursuant to SEBI circular bearing *Ref.: CIR/MIRSD/15/2011 dated August 2, 2011*, please note that the mobile number and e-mail ID mentioned by me in the KYC form belongs to my family member, details of which are as follows:

	Relation of Family Member	PAN of Family Member
Mobile Number:	Self / Spouse / Son / Daughter / Father / Mother	
E-mail ID:	Self / Spouse / Son / Daughter / Father / Mother	

However I have no objection whatsoever in you sending all the necessary information, intimations etc. related to my demat / trading account to this mobile number.

NOMINATION DETAILS

(If yes, please fill the nomination form)

Nomination Required	O Yes O No	

INTRODUCER / SUB BROKER DETAILS

Signature												
Status / Code	O Channel Partner O Employee O Trading O DP **(12041500)**											
Name	FIRST MIDDLE LAST											

Address ______________________________

____

____

City		State		PIN										
Country	India	Mobile No.											E-Mail ID	

OTHER TRADING MEMBER / SUB BROKER DETAILS

(if registered with multiple members, provide details of all)

Name of Stock Broker / Sub - Broker			
Name of Exchange		Client Code	
Details of Disputes / dues pending from / to such Stock Broker / Sub-Broker:			

PAST ACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / RBI / IRDA / Stock Exchange / any other authority against the client in charge of dealing in Equities / F&O / Currency Derivatives / Commodity Derivatives for violation of laws / other economic offences during the last 3 years:

ANY OTHER INFORMATION

____

____

CLIENT CATEGORISATION

Commercial	O Bullion O Base Metals O Energy O Agri-Commodities O Not Applicable
Non Commercial	O Bullion O Base Metals O Energy O Agri-Commodities O Not Applicable

Note: With a view to understand the extent of involvement of the physical market participants and to identify the nature of participants in the Commodities Derivative Market, Members of the Exchange are required to Categorize the identified Clients under one of the following category:
***Commercial Client** includes Value Chain / Physical market participant / exporter / importer / having direct / indirect exposure to the underlying Commodity*
***Non Commercial Client** includes Trader/ Arbitrageur*
***N.A.**: Not Applicable (Client not dealing in the product)*

CHOICE OF TRADING PLATFORM

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

Segment	Signature of Client
Equity / MF (BSE / NSE)	3(a) / 12
Equity Derivatives (BSE / NSE)	3(b) / 12
Currency Derivatives (BSE / NSE / MSEI)	3(c) 12
Commodity Derivatives* (BSE / NSE / MCX / NCDEX)	3(d) / 12
SLBM	3(e) / 12

*** Date of Consent**	MCX	D	D	-	M	M	-	2	0	Y	Y	NCDEX	D	D	-	M	M	-	2	0	Y	Y

 # If, in future, the client wants to trade on any new segment / exchange, separate authorization / letter shall be required.

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

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 confirm having read / been explained and understood the contents if the document on **'Policy and Procedures'** of the stock broker and the **'Tariff Sheet'.**

I further confirm having read and understood the contents of the **'Rights and Obligations'** document(s) and **'Risk Disclosure Document'**. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website ***(www.duck.jainam.in)*.**

Date:	D	D	-	M	M	-	2	0	Y	Y
Place:										

6 / 17

(Authorized Signatory with Stamp)

NOTING FOR THE CLIENTS

Pursuant to SEBI Circular # SEBI/MRD/SE/Cir-42/2003 dated 10th November 2003, ***Jainam Broking Limited*** informs all its client that they shall be doing proprietary trading in addition to clientele business.

The information provided by the client through this form shall be the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of the clients.

DIS OPTION *(Please select any one)*

◯ **Option 1:** I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account through I / We have issued a Power of Attorney (POA) in favour of ***Jainam Broking Limited*** (Clearing Member) for' executing delivery instruction for setting stock exchange trades (settlement related transactions) effected through such Clearing Member.

7 / 17

(Authorized Signatory with Stamp)

◯ **Option 2:** I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA in favour of ***Jainam Broking Limited*** (Clearing Member) for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through to me / us immediately on my / our request at any later date.

7 / 17

(Authorized Signatory with Stamp)

TARIFF SHEET (TRADING)

Segment	Intra Day				Delivery / Positional	
	1st Side %	Min	2nd Side %	Min	Slab %	Min
Cash						
Equity Derivatives (Futures)						
Equity Derivatives (Options)						
Currency Derivatives (Futures)						
Currency Derivatives (Options)						
Commodity Derivatives(Futures)						
Commodity Derivatives(Options)						
SLBM						

OTHER CHARGES

One time Account Opening Charge (amount not exceeding ‘ 500/-) shall be charged

The above charges are exclusive of statutory levies like GST, Stamp Duty, Securities / Commodity Transaction Tax, Exchange Transaction Charges, SEBI Turnover Fees & Clearing Charges which shall be charged additionally.

Scripwise Delivery Handling Charges on Sale Transactions (amount not exceeding ‘ 5/- per scrip) shall be levied.

Minimum Contract Charges (amount not exceeding ‘ 25/-) (inclusive of brokerage only) per contract shall be levied.

Demat Charges per scrip shall be levied for transfer of securities from / to Broker’s Beneficiary / Margin Account.

If you have opted for electronic mode of communication, any type of physical or hand copies of contract notes, ledger, holding statements etc. (amount not exceeding ‘ 5/- per page) in addition to courier charged shall be charged additionally.

All bills (segment wise) shall be rounded off to the nearest rupee.

We hereby agree the above mentioned charges that shall be levied on the trades executed in my account.

GST DETAILS

GSTIN															

We undertake that we have made the client aware of ‘Policy and Procedures’. ‘Tariff Sheet’ and all the non-mandatory documents. We have also made the client aware of ‘Rights and Obligations’ document(s), ‘Risk Disclosure Documents’ and ‘Guidance Note’. We have given/sent him a copy of all the KYC documents. We undertake that any change in the ‘Policy and Procedures’ and / or ‘Tariff Sheet’ and / or all the non-mandatory documents would be duly intimated to the clients. We also undertake that any change in the ‘Rights and Obligations’ and ‘Risk Disclosure Documents’ would be made available on our website *(www.jainam.in)* for the information of the clients.

Date:	D	D		M	M		2	0	Y	Y

Place: Surat

Seal / Stamp

For ***Jainam Broking Limited***

(Authorized Signatory)

INVESTOR'S GRIEVANCE CONTACT DETAILS

Details of Compliance Officer & CEO

Name	Designation	Contact No.	E-mail ID
Mr. Om Prakash Singh	Compliance Officer	+91 - 261 - 6725545	omprakash.singh@jainam.in

For any grievance / dispute, please contact us at the registered / corporate office address of the company or e-mail on ***customercare@jainam.in*** *or call on* ***91-261-6725555 / 2305555***

In case not satisfied with the response, please contact the concerned stock exchange / authorities as detailed below.

Authority	Tel	E-mail ID
BSE	+91-22-22728097	is@bseindia.com
NSE	+91-22-26598190	ignse@nse.co.in
MSEI	+91-22-67318933 / 67319000	investorcomplaints@msei.com
MCX	+91-22-67318888	grievance@mcxindia.com
NCDEX	+91-22-66406789	askus@ncdex.com
CDSL	+91-22-22723333	complaints@cdslindia.com

Demat Section

DEMAT SECTION

DP TARIFF SHEET

ROC Registration No.		Date:	D D - M M - 2 0 Y Y
SEBI Registration No.		Date:	D D - M M - 2 0 Y Y
RBI Registration No.		Date:	D D - M M - 2 0 Y Y
Nationality	☑ Indian ○ Others _____		

We instruct the DP to receive each & every credit in our account (Automatic Credit)	☑ Yes	○ No
Do you wish to receive dividend / interest directly into your bank account given above through ECS	☑ Yes	○ No
Account Statement Requirement	○ Daily ○ Weekly ○ Fortnightly ○ Monthly	☑ As per SEBI Regulations
Transaction-cum-Holding Statement / Ledgers / Bills may be mailed to Sole / First Holder's E-mail ID stated in the Account Opening Form	☑ Yes	○ No

(If not marked, the default option would be 'No')

We would like to instruct the DP to accept all the pledge instructions in our account without any other further instruction from our end.	☑ Yes	○ No
We would like to share the E-mail ID with the RTA	☑ Yes	○ No

(If not marked, the default option would be in Physical)

We would like to receive the Annual Report	☑ Electronic ○ Physical ○ Both Physical & Electronic

SMS ALERT FACILITY *(Refer to Terms & Conditions - Annexure 2.4)*

We wish to avail the SMS alert facility *(Mandatory, if you are giving Power of Attorney (POA))*		☑ Yes	○ No
Mobile	As mentioned in KYC Basic Details Form		

TRANSACTIONS USING SECURED TEXTING FACILITY (TRUST) *(Refer to Terms & Conditions - Annexure 2.6)*

We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. We have read and understood the Terms and Conditions prescribed by CDSL for the same	○ Yes	○ No

If Yes, please register the following Clearing Member ID's under my / our below mentioned BO ID registered for TRUST

Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

Easi Facility (To register for easi, please visit CDSL website www.cdslindia.com or contact your DP for details)	○ Yes	☑ No

I REQUEST TO ADD FOLLOWING UNIQUE CLIENT CODE (UCC)

Unique Client Code (UCC)	Exchange ID	Segment ID	CM ID	TM ID



9 / 17

(Authorized Signatory with Stamp)

DP TARIFF SHEET

Services		Scheme Name				
		Investor	Trader	Lifetime	Deposit	IPO / BSDA
Deposit		-	-	-	‘ 2000/-	-
One time Maintenance Charges		-	-	‘ 900/-	-	-
Annual Maintenance Charges		‘ 200/-	‘ 600/-	-	-	-
Corporate A/C Annual Maintenance Charges		‘ 500/-				
Receipts (Market & Off Market)		Nil				
Delivery (Debit) per transaction	To Jainam Pool with Auto Payin	‘ 5/-	Nil	‘ 5/-	‘ 5/-	‘ 20/-
	To Jainam Pool without Auto Payin	‘ 7/-				‘ 20/-
	To Other Pool & Off Market	0.01% Min. ‘ 15/-				
Pledge Creation, Closure & Invocation		‘ 25/- per request				
Dematerialization		‘ 100/- per DRF & ‘ 10/- per certificate				
Rematerialization		As per CDSL Actuals				
Margin Pledge Creation & Unpledge Request		As per CDSL Actuals				
Pledge Creation & Unpledge for MTF		As per CDSL Actuals				

The above charges are exclusive of GST and other levies levied by Government bodies / statutory authorities from time to time.

The above charges are based on existing CDSL charges and is subject to change at the sole discretion of Jainam Broking Limited with intimation to client of not less than 30 days.

Deposit shall be interest free & refundable on the closure of account (minimum period of 1 year.)

Value of the transaction will be in accordance with the rates provided by CDSL.

All charges (except AMC) will be payable monthly. Charges quoted above are for the services listed. Any service not quoted above will be charges separately.

All documents like holding, transaction, ledger statements etc. shall be electronically mailed to the e-mail ID of the client. Any copy in physical form shall be charged extra per page in addition to the postal charges.

All instruction for the transfer must be received at Corporate Office (Surat) at least 24 hours before the execution date.

DECLARATION

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



(Authorized Signatory with Stamp)

Agreement Section

JAINAM
Prosperity with Security

DEMAT DEBIT AND PLEDGE INSTRUCTION

(CORPORATE / LLP)

Jainam Broking Limited

Jainam House, New Passport Office Road, Piplod, Surat - 395007.
Tel : +91-261-6725555, 2305555 E-mail : corp@jainam.in Website : www.jainam.in
Member : BSE, NSE, MSEI, MCX, NCDEX, CDSL, MSEI

DEMAT DEBIT AND PLEDGE INSTRUCTION

Voluntary **Requirement**

To all to whom these presents shall come, we,

M/s._____, a body corporate incorporated under The Companies Act, 1956 and having its registered / head office at _____

_____

send greetings from _____ on this _____ day of _____, 20____.

WHEREAS

I / We hold a beneficiary account # 12041500_____with Central Depository Services (India) Limited., through its Depository Participant, ***Jainam Broking Limited,*** a corporate body incorporated under The Companies Act, 1956 and having DP-ID **041500** (hereinafter referred to as **'the Depository Participant'**). With SEBI under Registration No. **IN-DP-CDSL-223-2016.**

I / We am / are in investor engaged in buying and selling of securities through ***Jainam Broking Limited,*** a corporate body incorporated under The Companies Act, 1956 and having its registered / corporate office in Gujarat and processing office at Silvassa / Daman (hereinafter referred to as **'the stock broker'**) having trading / clearing membership under various segments of **Bombay Stock Exchange Limited (BSE), National Stock Exchange (NSE), National Commodity and Derivatives Exchange (NCDEX) and Multi Commodity Exchange of India (MCX)** (hereinafter referred to as **'the Stock Exchanges / Exchanges'**) who is a Stock Broker Registered with SEBI under registration no. **INZ000198735.**

1. Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker



11/ 9

(Authorized Signatory with Stamp)

2. Pledging / re-pledging of securities in favour of Trading Member (TM) / Clearing Member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.



12 / 19

(Authorized Signatory with Stamp)

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



13 / 19

(Authorized Signatory with Stamp)

4. Tendering shares in open offers through Stock Exchange platforms.



14 / 19

(Authorized Signatory with Stamp)

I / We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein. Further this Demat Debit and Pledge Instruction is executed subject to the terms that the stock broker shall return to me/us the securities that may have been received by them erroneously or those securities that the stock broker was not entitled to receive from me/us.

I / We hereby agree and declare that all acts and deeds done by the aforesaid stock broker under this authorization shall be construed as acts and deeds done by me / us jointly as well as severally and I/we further confirm and ratify all acts and deeds that the aforesaid stock broker shall lawfully do or cause to be done by virtue of this authorization. I / We further agree and confirm that the powers and authorities conferred by this Demat Debit and Pledge Instruction shall continue until it is revoked (without notice) in writing by me / us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker at its Corporate Of fice.

SCHEDULE 'A' (DEMAT ACCOUNT DETAILS)

Particulars	DP ID	Client ID
NSDL BSE Pool A/C	IN645981	
CSDL BSE Principal A/C	12041500	00001941
NSDL NSE Pool A/C	IN548402	
CSDL NSE Principal A/C	12041500	00352801

Particulars	DP ID	Client ID
Margin Pledge (TM / CM CMPA)	12041500	01487841
Margin Funding	12041500	01487854
CDSL NSE Early Pay-in A/C	11000011	00018450
CDSL BSE Early Pay-in A/C	11000010	00015282

APPENDIX - A

Electronic Contract Note (ECN) - Declaration

(Voluntary)

Date	D	D	-	M	M	-	2	0	Y	Y

To,
Jainam Broking Limited
Jainam House, New Passport Office Road,
Kargil Chowk, Piplod, Surat - 395007.

Dear Sir / Madam,

We, _____, a client with ***Jainam Broking Limited*** who is a member of MCX & NCDEX (Commodity Exchanges) undertake as follows:

We are aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.

we are aware that the Member has to provide electronic contract note for our convenience on our request only.

Though the Member is required to deliver physical contract note, we find that it is inconvenient for us to receive physical contract notes. Therefore, we are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by us.

We have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.

Our E-mail ID is _____. This has been created by us and not by someone else.

**(The email id must be written in own handwriting of the client.)*

We are aware that this declaration form should be in English or in any other Indian language known to us.

we are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above E-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involve in dispensing with the physical contract note, and do hereby take full responsibility for the same.

Signature	12 / 17	Address	
Name			
PAN		UCC	

FOR OFFICE USE ONLY

Signature Verified by:

Signature		Name	
		Designation	

Date	D	D	-	M	M	-	2	0	Y	Y
Place	Surat									

VARIOUS AUTHORIZATIONS

(Voluntary)

To,
Jainam Broking Limited
Jainam House, New Passport Office Road,
Kargil Chowk, Piplod, Surat - 395007.

Date	D	D	-	M	M	-	2	0	Y	Y

Client ID	
UCC	

Dear Sir/Madam,

RUNNING ACCOUNT AUTHORIZATION

We are having a trading account with you with client code as mentioned above. In order to facilitate smoother and faster operations, we hereby agree

a) and authorize you to maintain a running account across all the segment of all the Exchanges instead of settlement to settlement clearance of dues to us.

b) and instruct you that no cheques be issued to us towards any credit balance in my account, unless specifically demanded by us and only to the extent of amount demanded by us.

c) and authorize you to withhold delivery due to us against any debit balance or pending sale in my account arising on account of margin or future obligations.

d) for intra-exchange and/or inter-settlement transfer of funds and/or securities towards pay-in or pay-out of securities in the future or past settlements.

e) and authorize you to transfer amount from **'Margin Ledger'** to **'MTM Ledger'** (routine billing and fund transaction ledger) and vice versa to fulfill margin and normal billing liability towards you in Cash Equity Derivatives, Currency Derivatives and Commodity Derivatives segment.

f) to maintain such quantity of securities and such amount of cash credit balance as required by the applicable statues, rules, regulations, procedures or as deemed necessary or advisable by you. If you consider it necessary for your own protection, you may demand to deposit additional cash or securities to your account prior to any applicable settlement date in order to assure due performance of my open contractual commitments. If we do not provide such additional cash or securities, you shall have the right to sell any or all securities, but any or all relevant securities which may be short in our account, cancel any or all open orders and/or close any or all of our outstanding contracts.



(Authorized Signatory with Stamp)

SETTLEMENT OF FUNDS

However with reference to SEBI circular bearing *Ref: MIRSD/SE/Cir-19/2009 dated Dec 03, 2009* & various circulars issued by respective Exchanges thereafter regarding quarterly/monthly settlement, we request you to kindly note our preference for actual settlement of funds as follows.

Settlement of Funds	◯ Monthly ◯ Quarterly



(Authorized Signatory with Stamp)

VARIOUS AUTHORIZATIONS

TELEPHONIC INSTRUCTIONS/VOICE LOGGER

(Voluntary)

 # Kindly strike off any of the clauses, You do not wish to sign.

As regards to placement of orders, although you have insisted on written instruction for placing / modifying / cancelling orders, considering the practical difficulties faced in complying the same, we hereby agree to telephonic instruction for order placing or order modification as a written request and give all the confirmations on telephone unless instructed otherwise in writing.

Further we are aware that for all such telephonic instructions between us, you have installed or may install in future voice logging systems on the telephonic lines and you and you may record our telephonic instruction/conversations & we have or shall have no objection whatsoever in you using the said recordings to ascertain any claims or settle the disputes arising between us in any arbitration or legal proceedings and all such recordings shall be bound to both of us.

SMS FACILITY

We are aware that you, at your sole discretion, may send a SMS on my registered mobile (as mentioned in the KYC form) related to daily trade confirmations, ledger balances, margin calls or any other transactional/informative message. On receipt of such SMS, it shall be our responsibility to intimate you in writing of any discrepancies in the same.

We are also aware that you may charge a fee (amount not exceeding ₹ 25/- per month) for availing this facility & I authorize you to debit the same to my ledger from time to time.

Further if there is any change in my mobile number, it shall be our responsibility to intimate the said changes to you in writing & you shall make the necessary amendments within 48 hours of receipt of such intimation.

LETTER OF AUTHORITY

We hereby appoint the following persons as mentioned below as my authorized representative to operate my above mentioned trading account on our behalf and *Jainam Broking Limited* is authorized to follow his / her instructions regarding our above mentioned trading account for the following purpose

To place orders on our behalf and to receive confirmations on our behalf for order placed by him / her in the said account.

To receive / collect contracts, bills and any other relevant documents on my behalf in the said account and take / handover all the deliveries of shares purchased / sold by or on behalf of us.

Sr. No.	Name of Authorized Person	Specimen Signature of Authorized Person
1		
2		

DEMAT CHARGES AUTHORIZATION

We are having a trading account with you as mentioned above for dealing in shares & securities. We hereby authorize you to kindly debit our aforesaid trading account for various charges due to you pursuant to the services rendered against the following demat account(s).

No.	Demat Account No.
1	12041500

No.	Demat Account No.
2	12041500

INTERNET / MOBILE BASE APPLICATIONS

We would like to avail the various internet/mobile based trading & backoffice softwares offered by you.

We are fully aware that you may charge a fee (amount not exceeding ₹ 5/- per order / trade executed) for the trades initiated through such applications & also levy a monthly charge for accessing these softwares (amount not exceeding ₹ 500/- per annum) & we hereby authorize you to kindly debit these charges to my ledger account from time to time.

REVOCATION OF AUTHORIZATIONS

We are fully aware that any of the aforesaid authorizations shall continue till it is revoked (without notice period) in writing by us & the said revocation shall be effective from the date on which the revocation notice is received by you at your corporate office.

VARIOUS AUTHORIZATIONS

(Voluntary)

 # Kindly strike off any of the clauses, You do not wish to sign.

REVOCATION OF AUTHORIZATIONS

I / We am / are fully aware that any of the aforesaid authorizations shall continue till it is revoked (without notice period) in writing by me/ us & the said revocation shall be effective from the date on which the revocation notice is received by you at your corporate office.



15 / 17

(Authorized Signatory with Stamp)

OPTING-OUT OF BSDA FACILITIES

This is to inform you that I / We am / are aware about SEBI circular bearing *Ref: CIR/MRD/DP/22/2012 dated 27th August 2012*, where in a small investor can avail the BSDA facilities as mentioned therein.

However I / We do not intend to avail any such facility & although my / our demat account may fall under BSDA category now or in future, I/we do not wish to avail the said facilities.

Kindly consider this as my/our one time standing instruction for not availing the BSDA facility & in case I / We wish to avail the said facility in future, I / We shall intimate the same to you in writing.



16 / 17

(Authorized Signatory with Stamp)

BSE StAR Mutual Fund Facility

I am interested in availing the StAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the StAR platform of the Exchange. For the purpose of availing the StAR Mutual Fund facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of StAR and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.



17 / 17

(Authorized Signatory with Stamp)

ACKNOWLEDGEMENT OF KYC DOCUMENTS

Date	D	D	-	M	M	-	2	0	Y	Y

To,
Jainam Broking Limited
Jainam House, New Passport Office Road,
Kargil Chowk, Piplod, Surat - 395007.

Dear Sir / Madam,

Sub: Acknowledgment of KYC Documents

Sub : Acknowledgement of KYC Documents

Ref : UCC # _____Client ID : 12041500_____

I/We hereby acknowledge receipt of the following documents

- ☐ Duly Executed Copy of KYC
- ☐ Tariff Sheet
- ☐ Rights & Obligations
- ☐ Risk Disclosure Documents (RDD)
- ☐ Guidance Note (Do's & Don'ts)
- ☐ Company's Internal Policies & Procedures
- ☐ Photostat Copy of DP Account Opening Form
- ☐ Photostat Copy of Multiple Nomination Form
- ☐ Rights & Obligations of DP & BO
- ☐ SMART - Terms & Conditions (Annexure 2.4)
- ☐ TRUST - Terms & Conditions (Annexure 2.6)
- ☐ Photostat Copy of POA Agreement
- ☐ Photostat Copy of the Voluntary Declaration
  - ◯ Electronic Contract Note (ECN) - Declaration
  - ◯ Running Account Authorization / Settlement of Funds & Securities
  - ◯ Telephonic Instruction / Voice Logger
  - ◯ SMS Facility
  - ◯ Authority Letter
  - ◯ Demat Charges Authorization
  - ◯ Internet / Mobile Base Applications
  - ◯ Opting-Out of BSDA Facilities
  - ◯ Investor Charter Document (DP & SB)

I also confirm that I have received the relevant clarifications, if any, whereever required from the authorised representatives of Jainam Broking Limited.



(Authorized Signatory with Stamp)

Most Important Terms and Conditions (MITC)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number.
2. Do not allow anyone [including Jainam Broking Limited (herein referred to as "Jainam"), our representatives and dealers] to trade in your trading account on their own without taking specific instruction from you for your trades.
3. Do not share your internet/ mobile trading login credentials with anyone else.
4. You are required to place collaterals as margins with Jainam Broking Limited before you trade. The collateral can either be in the form of funds transfer into specified Jainam Broking Limited – client bank accounts or margin pledge of securities from your demat account. Details of the client bank accounts are listed on our website. Please do not transfer funds into any other account. We will not accept any cash from you.
5. Jainam's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the details of charges levied on you.
6. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, then the said securities will be transferred to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favour of Jainam Broking Limited. You can view your demat account balances directly at our website after creating a login.
7. We will deposit all the funds received from you with our designated Clearing Corporations duly allocated in your name. It is also mandated to return excess of our funds available with us as per applicable norms at the time of quarterly/ monthly settlement.
8. You will get a contract note from Jainam Broking Limited within 24 hours of the trade.
9. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to Jainam Broking Limited for limited access to your demat account, including transfer of securities, which are sold in your account for pay-in.
10. Jainam is expected to know your financial status and monitor your accounts accordingly. Hence, you are requested to share all the financial information (e.g. income, networth, etc.) with us as and when requested for. Kindly also keep your email Id and mobile phone details updated with Jainam Broking Limited at all the time.
11. In case of any disputes with Jainam Broking Limited, you can raise a grievance on the dedicated investor grievance ID (i.e grievance@jainam.in) of Jainam Broking Limited. You can also approach the stock exchanges and/or SEBI directly.
12. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Client Signature (For Non-Individual clients, sign of authorised signatory with stamp is required)

(Authorized Signatory with Stamp)

Consent/ Authorization to avail Margin Trading funding

To,
JAINAM BROKING LTD.

- I/we am/are interested in activating my/our account for avail margin trading funding with JAINAM BROKING LTD. I/we hereby authorize you to activate my/our account for the above-mentioned funding as per my consent.
- I/we have read and agree to the terms and conditions of Margin Trading Funding provided by JAINAM BROKING LTD (a copy of which is duly accepted and signed by us along with this consent/Authorisation letter). I/we do hereby agree to be bound by such provisions as outlined in these documents and act in accordance with the same while availing the margin trading funding.
- I/we hereby undertake to refer to the updated policies and procedure as posted on JAINAM BROKING LTD website and abide by the same.
- I/we confirm and agree to receive all the communication such as confirmation of orders/trades, margin calls, decisions/calls to liquidate the collateral/ positions / security on my registered email address or registered mobile number provided with JAINAM BROKING LTD send electronically by JAINAM BROKING LTD.
- I/we understand that by availing the funding to trade under Margin Trading, i/we authorize JAINAM BROKING LTD to treat all my/our trade in MTF approved securities, which are not covered by 100 % margin (i.e., Cash in ledger) as trades under Margin Trading Funding up to the approved limit for my/our client account and accordingly do the needful.
- I/we understand and agree that the interest would be calculated and levied on a daily basis at the ratemutually agreed between client and JAINAM BROKING LTD from time to time.
- I/we confirm that we have received the rights and obligations of Stock-Brokers & Clients for Margin TradingFunding (MTF) and had read the same.
- Interest rate for the MTF funding will 18 % per annum.
- I/We would want the total exposure of Rs. _____ and exposure to be provided as per required margin. I/We are aware that the Margin Funding exposure to us will be based on internal risk assessment of broker.
- I/We are aware that single scrip exposure will be given by broker subject to our account risk assessment and at the sole discretion of JAINAM BROKING LTD.

Client Trading Code	
Client Name	
Client PAN No	
Client Signature (Any One of Authorised Signatory)	

{For non-individual account holders, the signature of an authorized signatory along with the stamp is required.}

Date: _____

Place: _____

Rights and Obligations/Terms & Conditions to avail Margin Trading facility

JAINAM BROKING LTD member of NSE, BSE and MSEI is eligible to provide the MTF to its clients in accordance with the Rights & Obligations, Guidelines and Circulars as prescribed under SEBI circular No. CIR/MRD/DP/54/2017 dated June 13, 2017, and also by the Respective Stock Exchanges from time to time.

In these terms and conditions, the following terms shall have the below mentioned meaning unless indicated otherwise:

1. "JBL" means JAINAM BROKING LTD., a Stock-Broker of National Stock Exchange of India LTD (TM Code: 12169) and BSE LTD (Clg No: 2001) having obtained prior permission from respective exchange toprovide Margin Trading Facility to its clients.
2. "Margin Trading Facility (MTF)" is the product being offered by JBL to Clients under the framework of rules, regulations issued by Exchanges/ SEBI from timeto time and JBL has obtained prior permission for same from the respective Stock Exchange/(s).
3. "Client" means a constituent of JBL who have agreedto avail the facility of Margin Trading. Clients would include Individual, Company, Partnership Firm, Trust, HUF, Association of Person & Body of Individuals etc.,
4. "Communication in electronic mode" means alerts as a customized SMS or Email Communication sent to clients to their registered E-mail Address or Mobile Number with JBL.
5. "SMS" means "Short Messaging Service"
6. "Securities" means all funded and collateral stocks that are permissible set of securities as provided by NSE and BSE from time to time under the margin trading facility.

Clients willing to avail MTF facility from JBL shall authorize, confirm and agree to the below mentioned policies of MTF:

1. Client shall agree to all the terms and conditions of MTF offered by JBL.
2. JBL at all-time shall have the liberty to exercise its rights in its sole discretion to determine the extent to which the MTF to be made available to the client.
3. On execution of MTF Transaction, there will not be any further confirmation to client by JBL, that it is margin trading transaction other than by contract note and alerts sent by T+1 day to the registered email address and/or Mobile no.
4. JBL shall have rights / discretion to allocate available securities / funds as collateral against MTF.
5. JBL shall not be bound to grant MTF to the client (Such decision shall be at the sole and exclusive discretion of JBL) and JBL shall not be required to provide any reasons thereof nor shall JBL be liable for any damages either direct or consequentialor financial or non-financial to the client.
6. The terms / conditions /obligations of clients as amended from time to time shall be irrevocable and shall not be revoked by the death / dissolution / winding up of the client.
7. Corporate benefits if any shall be retained under control of JBL and it will be utilized towards MTF till the amount due in respect of the said transactions including any dues /charges to JBL.
8. JBL to hold and or to appropriate the credit lying in the client account and /or any unutilized pledged securities lying in designated DP account of the client along with all other DP accounts / Mutual Funds account of the Client towards the repayment of the outstanding dues thereof under MTF
9. JBL may release / unpledged the securities utilized for MTF on client request within 5 working days provided there are no dues to JBL or after clearingall the dues to JBL.
10. Securities purchased under MTF shall be identified separately and no comingling shall be permitted for the purpose of computing funding amount.
11. JBL shall not use the funds and securities of one client to provide MTF to another client, even on the authority of the client.
12. Daily margin statements sent by JBL to the respective client shall identify the Margin / Collateral for MTF separately.

Mode of Communication:

Communications pertaining to MTF including consent to the Terms & Conditions, Order / trade confirmation, revision in margin, margin calls / decision to liquidate theposition /security /collateral, Margin Statements, Marginpolicies on haircuts /VAR margin, RMS policies, Rights & Obligations allowable exposure, specific security exposure etc., will be communicated to the registered email id.

Securities Eligible for Margin Trading:

1. Equity Shares that are classified as 'Group I security' as per SEBI Master circular No. SEBI/HO/MRD/DP/CIR/P/2016/135 dated December 16, 2016, shall be eligible for margin trading facility
2. JBL reserves the rights to either include or excludeany securities from its MTF Approved list from the above said "Group I Security" as per the discretion of JBL without any prior intimation.

Margin Requirement:

1. The minimum initial margin required for MTF shall beas under: -

Category of Stock	Applicable margin
Group I stocks available for trading in F&O Segment	VAR + 3 times of applicable ELM* #
Group I stocks other than F&O stocks	VAR + 5 times of applicable ELM* #

*For aforesaid purpose the applicable VAR and ELM shall be as in the cashsegment for a particular stock.

Margin will be increased to 100% in case of corporate action or where thescrip does not remain eligible for MTF.

2. The actual applicable Initial Margin would be set by JBL based on its internal risk assessment and the same may be higher than the initial margin determined as mentioned above. The client shall referthe latest list of securities and applicable margin thereon, made available by JBL from time to time.
3. The client shall ensure maintenance of the aforesaid JBL prescribed margin at all times during the period that the margin trading facility is being availed by the client. The client shall ensure to place the prescribed margin in the form and manner as may be specified by JBL from time to time.
4. JBL may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin, from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, agree to make up the revised margin immediately, not later than 5 working days from the day of margin call, failing which JBL may exercise its discretion / right to liquidate the security/ collateral and/or close out the position immediately. It may, however, be noted that the initial/ maintenance margins will never be lower than that prescribed by Stock Exchanges/ SEBI.
5. On any short fall in margins, JBL would make the margin call, accordingly the client shall make good such deficient margin / margin call by placing the additional margin immediately, failing which JBLmay exercise its discretion / right to liquidate thesecurity / collateral and / or close out the position immediately depending upon the market conditions and / or the volatility. While making the margin Call JBL Will clearly indicate the additional/deficient margin to be made good
6. A separate risk management policy will be applicable to the transactions done under the Margin Trading Facility. Amendment to such risk management policy will get implemented after the same are duly communicated to the clients.

Collaterals:

1. The initial margin payable by the client to JBL shall be in the form of -
   - Cash &/or approved cash equivalent and/or
   - Group I equity shares, with appropriate hair cut as specified in SEBI Master circular no. SEBI/HO/MRD/DP/CIR/P/2016/135 dated December 16, 2016 and included in the approved list of JBL for MTF.
2. By agreeing to avail Margin Trading Facility with JBL,client is deemed to have authorized JBL to re-pledge the securities provided as collateral or purchased under the Margin Trading Facility and any corporate benefit thereon, if permitted by regulations applicable for Margin Trade Facility from time to time,till the amount due in respect of the said transaction including the dues to JBL is paid in full by the client.
3. Clients have a right to change the securities collateral offered for Margin Trading Facility at any time with prior notice in writing to JBL so long as the securities so offered are approved for margin trading facility by JBL.

Exposure and Maximum Permissible Exposure:

1. **Client Wise:** Exposure to any single client at any pointof time will not exceed 10% of the maximum allowable exposure which is equal to borrowed funds by JBL and 50% of JBL's "net worth".
2. **Securities Wise:** Exposure towards stocks purchased under margin trading facility and collateral kept in theform of securities, will be well diversified with at least 3 approved securities and which is as per theapproved policy of JBL in this regard from time to time.
3. **Exposure on the increased value of Collaterals:** In case of increase in the value of Collaterals, JBL may at its sole discretion have the option of granting further exposure to the client subject to applicable haircuts. However, no such exposure shall be permitted on the increased value of Funded stocks

MTF Trades Classification & related terms:

1. Client shall inform in writing or in any other irrefutable mode of communication its intent to shift transactionsto or out of MTF, which should not be later than 4 p.m.on T Day, in case of any shortfall in Margin collaterals required for such MTF transactions then the same would be considered under normal trading facility and Margin/settlement compliances of Normal Trading would be applicable.
2. Client will be free to take the delivery of the securitiesat any time by repaying the amounts that was paid by JBL to the Exchange towards the securities bought under MTF along with all other charges & dues on account of MTF transactions.

3. JBL shall monitor and review on a continuous basis the client's position with regards to MTF.
4. Mark to Market (MTM) losses on open positions to be paid by the client by the next working day by 11.30 pm. MTM profit and sale credit of MTF positions squared off on T Day shall be credited in clients Ledger on T+1 working day.
5. The client can carry forward his open buy position till T+90 days. This T+90 day cut off can be extended by JBL at its sole discretion or can be reduced in case of corporate actions concerning the securities in which there is open MTF position.

Interest Calculation and Reporting of Trades

1. JBL would consider entire clear credit ledgerbalance in the client's normal ledger for adjustment against the MTF trades (Ledger) and only the net debitbalance would be considered as funded amount for reporting purpose.
2. JBL would calculate and levy the interest at agreed rates from time to time on the net debit balance in the MTF Ledger for the number of days of debit balance in MTF Ledger.

Liquidation of MTF and collateral securities

JBL reverse the rights to Liquidate / Square off MTF Collateral / Funded Securities under the following circumstances:

1. If client fails to meet the margin call for 5 or more Trading days from the day of margin call.
2. If any instrument for the payment of Margin Money is / are dishonoured.
3. If client violates / breaches any provision / policies of MTF or provides any incorrect or misleading information.
4. If client has become the subject of any proceedings under any bankruptcy or insolvency law or winding up or liquidation proceedings or has a receiver or liquidator appointed in respect of itself or its assets or declared by any authority as a sick company or insolvent or seeking financial reconstruction or any other like scheme or whatever name called or is dissolved or any change in the constitution whether on account of the admission of a new partner or the retirement, death or insolvency of any partner or otherwise;
5. Due to any reasonable apprehension that client is unable to pay its outstanding dues or has admitted his inability to pay it dues.
6. On the occurrences of death / lunacy or other disability of the client.
7. On any circumstance which is sole opinion of JBL, is prejudicial to the interest of JBL.
8. Order passed by any regulatory. Courts, statutory bodies etc.,
9. All losses and financial charges on account of such liquidation/closing out shall be charged to and borne by the client
10. Whenever the securities are liquidated by JBL, the contract note issued for such margin call related transaction will carry an identifier that the transactionhas arisen out of margin call.
11. JBL will liquidate the client positions on FIRST IN FIRST OUT (FIFO) basis and within the FIFO the securities with highest value will be liquidated first. Incase of any illiquidity in securities falling in FIFO JBL may at its sole discretion liquidate any other security that has sufficient liquidity and value to cover the duesreceivable from Clients.
12. Time period for liquidation of position/security shall be after 12 working hours from the notice of liquidation/margin call. However, if mark to market loss exceeds 75% of funded stock value, then MTF stocks will be immediately liquidated, and any shortfall not covered with such liquidation will have tobe paid by the client on demand. In case such debit isnot paid by the client then JAINAM BROKING LTD has the right to liquidate the collaterals (both Cash and/or securities) provided to cover the debit. Clients are therefore required to monitor their mark to market losses vis-à-vis margin availability on areal time basis.

Termination of MTF Relationship:

1. Client may close / terminate the MTF Account at any time after paying the dues with prior notice in writing.
2. The margin trading arrangement between JBL and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the MTF approval provided to JBL or JBL surrenders the facility or the JBL ceases to be a member of the stock exchange.
3. The MTF facility may be withdrawn by JBL, in the event of client committing any breach of any terms or conditions therein or at any time after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of JBL committing any breach of any terms or conditions therein or for any other reason.
4. In the event of termination of this arrangement, the client shall forthwith settle the dues of JBL. The JBL shall be entitled to immediately adjust theMargin Amount against the dues of the client, and the client hereby authorizes the JBL to make such adjustment.
5. After such adjustment, if the amount is still due to JBL from the client, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to JBL, it shall release the balance amount/collateral securities as the case may be to the client.

6. If the client opts to terminate the margin trading facility, JBL shall forthwith return to the client all the collaterals provided and funded securities retained within 5 working days from the date of clearing of all the dues by client.

Complaints Redressal:

1. Client shall lodge protest or disagreement with any transaction done under the MTF within 24 hours from the date of receipt of such document/ contract notes / statements /any other communications.
2. Any dispute arising between the client and JBL in connection with the MTF, shall be referred to the investor grievance redressal mechanism, arbitration mechanism of the respective stock exchange.
3. SGF and IPF shall be available for transactions done on the Stock Exchange, whether through Normal or MTF. However. in case of any losses suffered in connection with the MTF availed by the client from the Stock Broker shall not be covered under IPF.

Miscellaneous:

1. The funds of one client will not be used to provide MTF to another client, even if the same is authorizedby the first client.
2. The Clients Margin Trading Account with no transaction for 90 days or any other time period as per the discretion of JBL will be settled immediately.
3. The dues, wherever mentioned herein above, includes but not LTD to outstanding balances, interest, statutory taxes, duties, charges, penalties etc. in respect of MTF availed by the Client
4. The terms / conditions / Obligations of the Client as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client
5. JBL shall not be liable for any losses either actual or opportunity losses arising from or in connection with MTF transactions due to:
   - **a)** Arising out of technical / system issues.
   - **b)** Disallowance of any scrip to be allowed for further MTF positions
   - **c)** Increase in applicable margin, especially when margin is increased to 100% in case of corporateaction or where the scrip does not remain eligiblefor MTF.
   - **d)** Increase in Collateral haircut %, especially when haircut is increased to 100% in case of corporateaction or withdrawal of scrip from acceptance ascollaterals due to reduction in price band of less than 20%, shifting of groups by exchange(s) etc.
   - **e)** Liquidation of MTF open positions due to increased mark to market losses and/or margin shortfall.
6. Account Opened under MTF may be separated witheither prefix or suffix of an identified letter with the unique client code for operational ease at the discretion of JAINAM BROKING LTD.

Client Trading Code	
Client Name	
Client PAN No	
Client Signature (Any One of Authorised Signatory)	

{For non-individual account holders, the signature of an authorized signatory along with the stamp is required.}

Date: _____

Place: _____