

**JEFFERIES INDIA PRIVATE LIMITED
ACCOUNT OPENING KIT (INDEX OF DOCUMENTS)**

S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	Annexure I (1 - 3 pages)
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	Annexure II (1- 4 pages)
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Annexure III (1 - 7 pages)
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Annexure III (8 – 12 pages)
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Annexure III (13- 14 Pages)
5	Grievance Redressal Mechanism	Document detailing procedure filing of for investor complaint .	Annexure III (15-16 pages)
6	Policies and Procedures	Documents describing significant policies and procedures of the stock broker.	Annexure IV (1- 4 pages)
7	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	Annexure V (1 page)
8	Investor Charter	Investor Charter for Stock Brokers inter-alia detailing the services provided to Investors, Rights of Investors, various activities of Stock Brokers with timelines, DOs and DON'Ts for Investors and Grievance Redressal Mechanism	Annexure VI (1 – 5 pages)
9	Most Important Terms and Conditions (MITC)	Document to bring into focus the critical aspects of the broker-client relationship and for ease of understanding of the clients.	Annexure VII (1 page)
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
10	Terms of Business	Document that set out the terms and conditions upon which we will conduct business with client.	Annexure VIII (1 - 18 pages)
11	Running Account Authorisation	Letter of Authorization for maintaining a Running Account	Annexure IX (1 page)
12	FATCA CRS Declaration	Declaration for determining Tax Residency of the Clients	Annexure X (11 pages)

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI FOR RESEARCH ANALYSTS

S. No.	Name of the Document	Brief Significance of the Document	Page No.
13	Most Important Terms and Conditions (MITC - Research)	Document to bring into focus the critical aspects of the research analyst-client relationship and for ease of understanding of the clients.	Annexure XI (2 pages)

Note: Items 11 and 12 are to be provided only in case you will be placing funds or securities as collateral for trading

Name of stock broker/trading member/clearing member: **Jefferies India Private Limited**

SEBI Registration No details:

Exchanges	SEBI Registration No.	Date
NSE	INZ000243033	March 22, 2019
BSE	INZ000243033	March 22, 2019

Registered & Correspondence address:

Jefferies India Private Limited, Level 16, Express Towers, Nariman Point, Mumbai – 400 021, INDIA.
Telephone : +91-22-4356 6000,
fax : +91-22-4356 6050.

Compliance officer's detail:

Sanjay Pai, Telephone:+91-22-4224 6000, email id: compliance_india@jefferies.com

CEO / Director's name, phone no. & email id:

Rajiv Hingoo, Telephone: +91-22-4224 6140, email id : rhingoo@jefferies.com

For any grievance / dispute please contact our Compliance Department at above address or email id compliance_india@jefferies.com and phone no. +91-22-42246000. In case if you are not satisfied with the response, please contact the concerned exchange (s) as per details below:

Name of Stock exchange	Email id	Telephone number
NSE	ignse@nse.co.in	+ 18002660058, + 91-22-25045300, + 91-22-61928200
BSE	dis@bseindia.com	+91-22-22721233/34, + 91-22-22728517

- If not satisfied with our response you can lodge your grievances with SEBI at <http://scores.gov.in> or you may also write to any of the offices of SEBI. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.
- For Online Resolution of Disputes - access SMART ODR portal - <https://smartodr.in/login>

Note: Please note that Jefferies India Private Limited is not required to comply with the Business Continuity/DR plan under the existing regulatory provisions