

## Jefferies India Private Limited

### TRADING ACCOUNT RELATED DETAILS

#### A. BANK ACCOUNT(S) DETAILS

| Bank Name | Branch address | Bank account no. | Account Type:<br>Saving/Current/ Others-In | MICR Numbe | IFSC code |
|-----------|----------------|------------------|--|------------|-----------|
|           |                |                  |  |            |           |

#### B. DEPOSITORY ACCOUNT(S) DETAILS

| Depository Participant | Depository Name | Beneficiary name | DP ID | Beneficiary ID |
|------------------------|-----------------|------------------|-------|----------------|
|                        |                 |                  |       |                |

#### C. TRADING PREFERENCES

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

|   |                    |     |          |      |                       |
|---|--------------------|-----|----------|------|-----------------------|
| Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you. |                    |     |          |      |                       |
| Exchanges   | NSE, BSE & MSEI    |     |          |      | MCX, NCDEX, BSE & NSE |
| All Segments  | Cash / Mutual Fund | F&O | Currency | Debt | Commodity Derivatives |
|   |                    |     |          |      |                       |
| If you do not wish to trade in any of segments / Mutual Fund, please mention here _____.                    |                    |     |          |      |                       |

*# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.*

#### D. PAST ACTIONS

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

#### E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- ☐ If client is dealing through the sub-broker, provide the following details:  
 Sub-broker's Name: \_\_\_\_\_ SEBI Registration number: \_\_\_\_\_  
 Registered office address: \_\_\_\_\_ Ph: \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_

- ☐ Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)  
 Name of stock broker: \_\_\_\_\_ Name of Sub-Broker, if any: \_\_\_\_\_  
 Client Code: \_\_\_\_\_ Exchange: \_\_\_\_\_  
 Details of disputes/dues pending from/to such stock broker/sub-broker: \_\_\_\_\_

## F. ADDITIONAL DETAILS

- ☐ Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): \_\_\_\_\_  
 Specify your Email id, if applicable: \_\_\_\_\_
- ☐ Whether you wish to avail of the facility of internet trading / wireless technology (please specify): \_\_\_\_\_
- ☐ Number of years of Investment/Trading Experience: \_\_\_\_\_
- ☐ In case of non – individuals, name, designation, PAN, UID, signature, residential address and photographs of person authorized to deal in securities on behalf of company / firm/ others: \_\_\_\_\_
- ☐ Gross Annual Income Details (please tick) : ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac  
☐ 25 lacs- 1 Crore ☐ > 1 Crore.
- ☐ Net-worth in Rs. \_\_\_\_\_ as on date \_\_\_\_\_
- ☐ Please tick if applicable, for any of your authorized signatories / promoters / partners / karta / trustees / whole time directors: Politically Exposed Person (PEP) / Related to a Politically Exposed Person (PEP)
- ☐ Is the entity involved/providing any of the following services ☐ YES ☐ NO.
- For Foreign Exchange/Money Changer Services ☐ YES ☐ NO
  - Gaming/Gambling/Lottery Services(e.g. casinos, betting, syndicates) ☐ YES ☐ NO
  - Money Lending/Pawning ☐ YES ☐ NO
- ☐ Any other information: \_\_\_\_\_

## G. NOMINATION DETAILS (for individuals only)

- ☐ **I/We wish to nominate** ☐ **I/We do not wish to nominate**  
 Name of the Nominee: ..... Relationship with the Nominee: .....  
 PAN of Nominee: ..... Date of Birth of Nominee: .....  
 Address and phone no. of the Nominee: .....

### If Nominee is a minor, details of guardian:

- Name of guardian: ..... Address and phone no. of Guardian: .....  
 Signature of guardian .....

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

- |                 |                 |
|-----------------|-----------------|
| Name -----      | Name -----      |
| Signature ----- | Signature ----- |
| Address -----   | Address -----   |

## DECLARATION

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

Place \_\_\_\_\_

(-----)

Date \_\_\_\_\_

Name and Signature of Authorized Signatory

## FOR OFFICE USE ONLY

UCC Code allotted to the Client: \_\_\_\_\_

|                             | Documents verified with Originals | Client Interviewed By | In-Person Verification done by |
|-----------------------------|-----------------------------------|-----------------------|--------------------------------|
| Name of the Employee        |                                   |                       |                                |
| Employee Code               |                                   |                       |                                |
| Designation of the Employee |                                   |                       |                                |
| Date                        |                                   |                       |                                |
| Signature                   |                                   |                       |                                |

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

\_\_\_\_\_

**Signature of the Authorized Signatory**

Date \_\_\_\_\_

**Seal/Stamp of the stock broker**

## INSTRUCTIONS/ CHECK LIST

1. 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            | 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.*

- 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 master or recent holding statement issued by DP bearing name of the client.
- For non-individuals:
  - Form need to be initialized by all the authorized signatories.
  - 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 sign