

Jefferies India Private Limited

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: 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.

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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