

FOR DEMAT & TRADING

Kindly mark your signature at the highlighted and ✓ ticked area



JK Securities Private Limited

Registration Form

CLIENT REGISTRATION FORM FOR DEMAT & TRADING ACCOUNT
(COMBINED FORM FOR NSE, BSE, MCX, NCDEX & DP - NSDL)

Members

NSE (National Stock Exchange of India Limited)
BSE (Bombay Stock Exchange of India Limited)
MCX (Multi Commodity Exchange of India Limited)
NCDEX (National Commodity & Derivatives Exchange Limited)

Depository Participant

NSDL (National Securities Depository Limited)
DP ID : IN300636, IN300999, IN302381 (NSDL)
CIN : U27204GJ1995PTC025974

SEBI Registration No.

INZ000174537
SEBI Research Analyst Registration No.
INH000007289

Client Code

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Trading No.

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Receipt No.

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Branch/Broker

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Account Opening Kit INDEX

S. No.		Name of the Documents	Page No.
01	MANDATORY	Rights and Obligations Acknowledgement	02
02	MANDATORY	Instructions Checklist for filling KYC Form	05
03	MANDATORY	Checklist for KYC	06
04	MANDATORY	Central KYC Registry	08
05	MANDATORY	Account Opening Form (Part - II)	11
06	MANDATORY	Tariff Sheet	14
07	MANDATORY	Declaration of FEMA Registration	16
08	MANDATORY	Nomination / Cancellation of Nomination (Form 10)	17
09	MANDATORY	Basic Information about AML Measures for General Guidance of Clients	19
10	MANDATORY	FATCA	20
11	MANDATORY	Mobile & Email ID Declaration	22
12	VOLUNTARY	MFSS Facility	23
13	VOLUNTARY	Authorisation Letter for Electronic Communication (Demat)	24
14	VOLUNTARY	Authorisation Letter for Electronic Communication (Trading)	25
15	MANDATORY	Policies & Procedures as per SEBI Circular	26
16	VOLUNTARY	Undertaking / Authorisation	31
17	VOLUNTARY	Internet and Wireless Technology Based Trading Facility Provided by JKSPIL to Clients	33
18	VOLUNTARY	Running Account Authorisation Form	34
19	VOLUNTARY	Power of Attorney	36

Supplementary Booklet for Mandatory Documents as prescribed
by SEBI & Exchanges

Rights & Obligations DP

Rights & Obligations of Stock Broker, Sub Broker & Client

Internet & Wireless Technology based Trading Facility

Risk Disclosure Document for Capital Market & Derivatives Segment

Policy & Procedures of the Stock Broker

Document detailing DOs & DON'Ts for Trading on Exchange

Demat Account Charge Structure - Client Copy

MCX & NCDEX

Rights & Obligations of Stock Broker, Sub Broker & Client

Risk Disclosure Document

Document detailing DOs & DON'Ts for Trading on Exchange

ACKNOWLEDGEMENT

Rights & Obligations Acknowledgement (Brokers & DP)

Date




Form No. **A**

1. I/We do hereby confirm the receipt of copy of the duly completed KYC documents including RDD, Rights 7 Obligations Guidance Note, Policies & Procedures and all such other documents executed by me/us as your client.
2. I/We do hereby confirm the receipt of the Tariff Sheet, Trading Code/Unique Client Code allotted to me/us including the E-mail ID furnished by me/us for the purpose of receiving electronic contract notes, statement of accounts and such other documents and as such have noted the User ID and Password given to me/us for the operations of the same through your website.
3. In case of non-receipt of the above or User ID & Password for tracking any transaction through your website : www.jksecurities.com or for any help assistance. I/We will promptly notify your compliance officer for Trading A/c : Manish Shah, on ID : manish@jksecurities.com or Mob.: +91 99789 14266 or Tel.: +91 2692 225036/37 and for Demat A/c : Manish Shah, on ID : manish@jksecurities.com or Mob.: +91 99789 14266 or Tel.: +91 2692 225036/37
4. I/We will periodically visit www.jksecurities.com for updation on various Policies/Forms/Declarations etc.
5. I/We hereby declare that prior to transacting into the securities/commodities of Listed Stock Exchanges, I/we will ensure to meet Eligibility for acquiring or holding shares and fit and proper criteria as per SEBI circular No. CIR/MRD/DSA/01/2016 dated 1st January, 2016 under SECC Regulations, 2012 as may be amended from time to time.
6. I/We do hereby acknowledge receipt of following
 - Annexure 4 - Rights & Obligations of Stock Brokers and Clients (NSE, BSE, MCX & NCDEX)
 - Annexure 5 - Risk Disclosure Document for Capital Market & Derivatives Segments (NSE, BSE, MCX & NCDEX)
 - Annexure 6 - Guidance Note - Do9s & Don9ts for Trading on the Exchange(s) for Investors (NSE, BSE, MCX & NCDEX)
 - Documents describing significant Policies & Procedures of Stock Broker (NSE, BSE, MCX & NCDEX)
 - Rights & Obligations of Beneficial & Depository Participant as perscribed by SEBI and Depositories
 - Copy of Power of Attorney

DP ID : IN300636

Client ID :

Trading Code :

Name(s) of Holder(s)	Name	Signature
Sole/First Holder		
Second Holder		
Third Holder		

ACKNOWLEDGEMENT SLIP

JK SECURITIES PRIVATE LIMITED

Opp. People9s Bank Park, Sardargunj Road, Anand 388 001.

Form No. **A**

DP ID : IN300636

Client ID :

Trading Code :

Received the Combined Application from Mr./Ms. _____
as the first holder along with _____ and _____
as the Second & Third Holders respectively for opening Depository/Trading Account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date

3

Authorised Signatory

Name of Stock Broker/Trading Member/Clearing Member : JK Securities Private Limited

SEBI Single Registration No. : NSE, BSE, MSEI, MCX & NCDEX - INZ000174537

TM Code : NSE - 08239, BSE - 6608, MSEI - 10420, MCX - 55710, NCDEX - NCDEX/CO/5/547

NSDL Registration No. : IN-DP-466-2020

Depository Participant : NSDL ID - IN300636, IN300999, IN302381

NSDL : relations@nsdl.co.in

Registered & Correspondence Office Address : Opp. People's Bank Park, Sardar Gunj Road, Anand 388001, Gujarat Ph :+912692 225040/41/42 Fax:+91 2692 240383 Website :www.jksecurities.com

Compliance officer : Mr. Manish Shah +91 99789 14266, +91 2692 225005, compliance@jksecurities.com

Managing Director : Mr. Pranav Patel +91 2692 22 50 50 pranav@jksecurities.com

For any grievance/dispute please contact JK Securities Private Limited at the above address or email on **igc@jksecurities.com** or Phone No. **+91 90998 11000**.

In case not satisfied with the response, please contact the Investor Grievance Cell/Arbitration (NSE) **atignse@nse.co.in**, Phone No. **+91 22 26598192** and (MSEI) at **investorcomplaints@mcx_sx.com** and Phone No. **+91 22 67318933/9000** (BSE) **is@bseindia.com**, Phone No. : **+91 22 22728097**, (NCDEX) **askus@ncdex.com** and Phone No. **+91 22 66406666**, (NSDL) **relations@nsdl.co.in** and Phone No. **+91 22 24994200**, (MCX) **info@mcxindia.com** and Phone No. **+91 22 67318888**

You can also lodge your grievences with SEBI at **http://scores.gov.in**, feedback or assistance please contact SEBI Office on Toll Free helpline at **1800 22 7575, 1800 266 7575**

We undertake PRO Trading in NSE Cash and F & O.

Globe Capital Market Limited

(Clearing Member for NSE, CDS & F&O)

Regd. Office : 609, Ansal bhawan, 16 K.G. Marg, Cannought Place, New Delhi 110 001

T : +91 11 30412345 **E :** care@globecapital.com

SEBI Reg. No. : INZ0000177137

Globe Commodities Limited

(Clearing Member for MCX & NCDEX)

Regd. Office : 804, Ansal bhawan, 16 K.G. Marg, Cannought Place, New Delhi 110 001
T : +91 11 30412345

E : customercare@globecapital.com

SEBI Reg. No. : INZ000024939

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	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 and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN 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. Authorized signatories list with specimen signatures.
Partnership Firm	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. Authorized signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	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 of Trustees.
HUF	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 of Karta.
Unincorporated association or a body of individuals	Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/ Institutional Investors	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)	Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/Government Bodies	Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	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 Chairman/Secretary.

CATEGORY CODE REFERENCE TABLE AS PER SEBI FOR COMMODITY MARKET

Category	FPOs/ Farmers	Value Chain Participants	Proprietary Traders (Only for registered Stock/Commodity) Brokers	Domestic Financial Institutional Investors	Foreign Participants	Others
Category Code	1	2	3	4	5	6

Instructions/Check list for filling KYC Form

Important Points :

1. Self attested copy of PAN 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 NRI9s, Mariner9s 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.

12. All communication shall be sent at the address of the Sole/First holder only.

13. 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

14. As per NSDL Circular No. NSDL/PI/2004/1622 dated September 07, 2004 & NSDL/PLICY/2012/007 dated August 13, 2012 pursuant to SEBI Circular No. MRD/DoP/Cir-29/2004 & CIR/MIRSD/09 /2012 dated August 13, 2012, a copy of any of the following documents may be accepted as proof of identity/proof of address (local/correspondence/ foreign address as the case may be)

Instructions related to nomination are as below:

a. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.

b. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.

c. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.

d. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.

e. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the participant against the legal heir.

f. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.

g. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.

CHECKLIST FOR KYC

(Please tick wherever applicable)

CKYC Reference No.		
PAN Card	Account Holder & Joint holder9s (if any)	
Photograph	Passport Size Photograph - 3 Photo Each Holder	
Additional Proof of Identity (any One)	A	PAN Card
	B	Voter ID
	C	Valid Passport
	D	Valid Driving License
	E	Aadhaar Card
	F	Identity Card/ Document with client 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.
	G	Other (please Specify) _____
Proof of Address (any One) Permanent/ Correspondence	A	Voter ID
	B	Valid Passport
	C	Valid Driving License
	D	Aadhaar Card
	E	Bank Statement/Passbook (not more than 3 months old must contain complete address of client)
	F	Electric Bill (not more than 3 months old)
	G	Resident Landline Tel. Bill (not more than 3 months old)
	H	Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts
	I	Proof 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/ Document Issued by any Govt. or Statutory Authority.
	J	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, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
Bank Proof with MIRC/IFSC Code (1 Holder Only)	K	Other (please Specify) _____
	A	Bank Statement/Bank passbook with cheque leaf (not more than 3 months old)
	B	Banker9s Certificate on letter head of the Bank (Original)
Demat Proof	C	Cancelled Personalized Cheque leaf
	A	Client Master (CML copy duly attested by DP)
	B	DP Statement duly attested by DP

Proof of Income (any one) Mandatory for Derivatives Segments	A	Copy of latest ITR acknowledgment	
	B	In case of salary income-Salary Slip, Copy of Form 16	
	C	Net-worth certificate (not more than 1 year old)	
	D	Copy of Demat Account Holding Statement (not more than 3 month old)	
	E	Bank Account Statement for last 6 months reflecting income	
Exemptions/Clarifications to PAN		(a)Central Government and /or State Government and by Official appointed by Courts.	
		(b)Investors residing in the state of Sikkim	
		(c)UN entities/multilateral agencies exempt from paying taxes	
		(d)SIP of mutual funds upto Rs. 50000/- p.a.	
		(e)Institutional Clients – FII, MFs, VCFs, etc.	

FOR OFFICE USE ONLY

Allotted Unique Client Code

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	Documents verified with Originals	Client interviewed by	In-Person Verification done by
Employee Name			
Employee Code			
Employee Designation			
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, Guidance Note and DOs & DON9Ts. I/We have given/sent him/her 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.

Sign (Authorised Signatory)

Date _____

Seal/Stamp of the Stock Broker

CENTRAL KYC REGISTRY

Know Your Customer (KYC) Application Form for Individual



Important Instructions :

- A) Fields marked with 8*9 are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section wise detailed guidelines/instructions at the end.
 E) List of State/U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end.
 F) List of two character ISO 3166 country code is available at the end.
 G) KYC number of applicant is mandatory for update application.
 H) For particular section update, please tick (J) in the box available before the section number and strike off the sections not required to be updated.

FOR OFFICE USE ONLY : Application Type*		<input type="checkbox"/> New	<input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number	<input type="text"/>	(Mandatory for KYC Update request)
	Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small

☐ 01. PERSONAL DETAILS (Please refer instruction A at the end)

	Perfix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (if any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father/Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T - Transgender	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Front facing Passport Size Photograph </div>
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN - Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Educational Qualification	<input type="checkbox"/> Undergraduate	<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate	
	<input type="checkbox"/> Professional	<input type="checkbox"/> Other		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S - Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O - Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B - Business <input type="checkbox"/> Agriculture <input type="checkbox"/> Others (Please specify)			

✓ 02

Signature

☐ 02. TICK IF APPLICABLE Residence for tax purposes in jurisdiction(s) outside India (Please refer Instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if Section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*	<input type="text"/>
Tax Identification Number or equivalent (if issued by jurisdiction)*	<input type="text"/>
Place/City of Birth*	<input type="text"/>
ISO 3166 Country Code of Birth*	<input type="text"/>

☐ 03. PROOF OF IDENTITY (Pol*) (Please refer Instruction C at the end)

(Certified copy of any one of the following Proof of Identity(Pol) needs to be submitted)

A - Passport	<input type="text"/>	Passport Expiry Date	<input type="text"/>
B - Voter ID Card	<input type="text"/>		
C - PAN Card	<input type="text"/>		
D - Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
E - UID (AADHAAR)	<input type="text"/>		
F - NREGA Job Card	<input type="text"/>		
Z - Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
B - Simplified Measures Account - Document Type Code	<input type="text"/>	Identification Number	<input type="text"/>

04. PROOF OF ADDRESS (PoA)*☐ 04.1 CURRENT/PERMANENT/OVERSEAS ADDRESS DETAILS (Please see Instruction D at the end)(Certified copy of **anyone** of the following Proof of Identity(Pol) needs to be submitted)

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
 Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (AADHAAR)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others
☐ Simplified Measures Account - Document Type Code

Address

Line 1*
 Line 2
 Line 3 City/Town Village*
 District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

☐ 04.2 CORRESPONDENCE/LOCAL ADDRESS DETAILS* (Please see Instruction E at the end)

Same as Current/Permanent/Overseas Address Details (In case of multiple correspondence/local addresses, please fill 8Annexure A19)

Line 1*
 Line 2
 Line 3 City/Town Village*
 District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

☐ 04.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES*

(Applicable of Section 2 is ticked)

☐ Same as Current/Permanent/Overseas Address Details ☐ Same as Correspondence/Local Address Details

Line 1*
 Line 2
 Line 3 City/Town Village*
 District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

☐ 05. CONTACT DETAILS (All communications will be sent on provided Mobile No./Email ID)

(Please refer to instruction F at the end)

Tel. (Off) Tel. (Res) Mobile
 FAX Email ID

☐ 06. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 8Annexure B19)

(Please refer to instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related PersonKYC No. of Related Person (if available*) Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY (Pol) OF RELATED PERSON* (Please see instruction H at the end)

☐ A - Passport Passport Expiry Date
☐ B - Voter ID Card
☐ C - PAN Card
☐ D - Driving Licence Driving Licence Expiry Date
☐ E - UID (AADHAAR)
☐ F - NREGA Job Card
☐ Z - Others (any document notified by the central government) Identification Number
☐ B - Simplified Measures Account - Document Type Code Identification Number

07. REMARKS (If any)

[illegible]

08. APPLICANT 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 above information is found to be false or untrue or misleading or misinterpreting, I am aware that I may be held liable

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address

Date : DD MM YYYY Place :

03 ✓

Signature/Thumb Impression
of the Applicant

09. ATTESTATION/FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

[illegible]

Signature (Authorised Signatory)

JK Securities Private Limited

CKYC Code : IN0195 NDML Code : P0670

Opp. People's Bank Park, Sardargunj Road,
Anand 388001, Gujarat

T: +912692 225040/41/42

F : +91 2692 240383

W : www.jksecurities.com

Part - II

Account Opening Form (for Individuals)

JK Securities Private Limited DP ID - IN 300636 Opp. People9s Bank Park, Sardargunj Road, Anand 388 001 T : +91 2692 225037/38 F : +91 2692 240383	Demat No.								
	Cilent ID								

I/ We request you to open a depository & trading account in my/ our name as per following details **Date**

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

A. Type of Account

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI - Non Repatriable	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Margin
<input type="checkbox"/> NRI - Repatriable	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Promoter	<input type="checkbox"/> Others (please specify) _____

B. Bank Details

1. Bank Account Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Other (please specify)		
2. Bank Account Number			
3. Bank Name			
4. Branch Address			
	City/ Town/ Village		PIN Code
	State		Country
5. MICR Code			
6. IFSC Code			

C. Please tick, if applicable

<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)
--

D. In case of NRIs/ Foreign Nationals

RBI Approval Reference Number									
RBI Approval Date	<table border="1" style="display: inline-table; text-align: center; width: 100px;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

E. Nomination Option

<input type="checkbox"/> I/We wish to make a nomination. (Details are provided in FORM 10)	<input type="checkbox"/> I/We do not wish to make a nomination.
---	---

F. Gross Annual Income Details

Income Range per annum (please tick any one)

<input type="checkbox"/> Below ₹ 1 lac	<input type="checkbox"/> ₹ 1 - 5 lac	<input type="checkbox"/> ₹ 5 - 10 lac	<input type="checkbox"/> ₹ 10 - 25 lac	<input type="checkbox"/> More than ₹ 25 lac								
Net Worth (Net Worth Should not be older than 1 year) Amount		Date <table border="1" style="display: inline-table; text-align: center; width: 100px;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>			D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y					

G. Depository Details

Depository Participant Name : JK Securities Private Limited	
Depository : <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL
Beneficiary Name : _____	
DP ID : IN300636	Beneficiary ID : _____

• For Joint accounts, communication to be sent to

<input type="checkbox"/> First holder <input type="checkbox"/> All joint account holders
--

• Mode Of Operations for Joint Accounts

<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holder or survivor(s)

04 ✓ Signature of First/Sole Applicant/Guardian	02 ✓ Signature of Second Applicant	02 ✓ Signature of Third Applicant
--	---	--

OTHER DETAILS						
H. 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 & MSEI					MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	SLBM	F&O	Currency	Debt	Commodity Derivatives
If you do not wish to trade in any of segments / Mutual Fund, please mention here						
I. 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:						
J. Guardian Details (where sole holder is a minor)						
For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by the guardian)						
Guardian Name						
PAN						
Relationship of Guardian with mi						

Declaration

The rules and regulations of the Depository and Depository Participants 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. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, <Rights and Obligations of the Beneficial Owner and Depository Participant=.

Name(s) of holder(s)		Signature(s) of holder
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)		X
Second Holder (Mr./Ms.)		X
Third Holder (Mr./Ms.)		X

Notes :-

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate.
3. 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.
4. The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.
5. 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.

Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.

6. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents for deletion of name of the deceased account holder(s) in the demat account within one year of the date of demise.
7. In case if 8first holder9 is selected, the communication will be sent as per the preference mentioned at Sr. No. 5. In case 8All joint account holders9 is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 5 and communication to other holders will be in electronic mode. The default option will be communication to 8first holder9, if no option selected.

~~7-8.~~ In case of joint account, the option to select 8Choice of Nomination9 i.e. I/We wish to make a nomination or I/We wish to opt out of a nomination is not mandatory.

~~8-9.~~ Strike off whichever is not applicable.

K. DEALING THROUGH AUTHORISED PERSON (AP)/OTHER STOCK BROKERS		
If Yes, please specify :		
Name of Broker/AP	SEBI Registration No. :	
Name of Exchange	Trading Code :	
Details of disputes/dues pending from/to stock broker :		
Whether you are a Member/AP of any Exchange <input type="checkbox"/> Yes <input type="checkbox"/> No		

L. STANDING INSTRUCTION / OTHER DETAILS /EMAIL-SMS ALERT/ CONTRACT NOTE PREFERENCE	
Contract Note /Holding & Transaction Statement including CAS/Standard documents forming part of Account Opening Kit /Other Documents Note: Please consider Email Id given in KYC	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
To Receive / Accept each and every credit and pledge instruction in my account	<input type="checkbox"/> Yes <input type="checkbox"/> No
To Share Email id with Registrar & Transfer Agent (RTA) for receive Annual Report in Electronic Mode	<input type="checkbox"/> Yes <input type="checkbox"/> No
Dividend /Interest to receive in bank account stated in KYC via ECS	<input type="checkbox"/> Yes <input type="checkbox"/> No
To avail facility of internet Trading & Wireless Technology	<input type="checkbox"/> Yes <input type="checkbox"/> No
To receive Delivery Instruction Slip with account opening	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account to be Operated through Power of Attorney	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account to be operated through Demat Debit and Pledge Instruction (DDPI)	<input type="checkbox"/> Yes <input type="checkbox"/> No
To opt for BSDA	<input type="checkbox"/> Yes <input type="checkbox"/> No

M. INFORMATION FOR PREVIEW OF MONEY LAUNDERING ACT 2002 & OTHER DETAILS	
Experience	Number of years of investment/Trading Experience
Constituent Profile	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Service <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Other _____
Client	<input type="checkbox"/> FPOs/ Farmer <input type="checkbox"/> Value Chain participant <input type="checkbox"/> Foreign participant
Category	<input type="checkbox"/> Domestic Financial Institutional Investor <input type="checkbox"/> Other
Is the Client Politically Exposed Person (PEP) or Related to a PEP <input type="checkbox"/> Yes <input type="checkbox"/> No	

N. GST REGISTRATION DETAILS		
Registration No. :	Registration Date	State Name
GSTIN No. :	___/___/___	

O. DECLARATION PURSUANT TO SEBI CIRCULAR SEBI/HO/CDMRD/DNPMP/CIR/2019/08 DATED 04TH JANUARY, 2019							
List of Commodities (MCX & NCDEX)							
Commodities	Code	Commodities	Code	Commodities	Code	Commodities	Code
Aluminum		Brass		Copper		Lead	
Nickel		Zinc		Barley		Cardamom	
Castor		Chana		Cocudakl		Cotton	
Dhaniya		Guargum		Guarseed		Jeeraunjha	
Kapas		Maize		Moong		Pady	
Pepper		RM Seed		Sugar		Soyabean	
Turmeric		Wheat		Gold		Silver	
CPO		Crude Oil		Mentha Oil		Syoref	
Natural Gast		All Commodities					

06 ✓ Signature of First/Sole Applicant/Guardian	03 ✓ Signature of Second Applicant	03 ✓ Signature of Third Applicant
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Tariff Sheet

	Account Opening		NIL		Account Closing		NIL	
	Intraday				Delivery			
	BUY		SELL					
	%	Min	%	Min	%		Min	
NSE & BSE								
	Intraday				Anyday			
	BUY		SELL		BUY		SELL	
	%	Min	%	Min	%	Min	%	Min
Index Future								
Equity Future								
Currency Future								
MCX Future								
NCOEX Future								
	Intraday				Anyday			
	BUY		SELL		BUY		SELL	
Index & Equity Option								
Currency Option								
MCX Option								
NCDEX Option								
SEBI Fees		Charged on Turnover						At the prevailling Rate applicable from time to time
Stamp Duty		Intra Day Transaction						
		Delivery Transaction						
Tranaaction Charges		Cash Markel Turnover						
		Future Turnover						
		Option Premium Turnover						
Security Transaction Tax		Intra Day Sale Transaction - Cash Market						
		Delivey Transaction						
		Future and Option on sale Transaction (onseller)						
		Option writer when exercise to be bear by Purchaser on settlement value						
Digital Contract (ECN)								Free
Statutory Charges (PoA)			Rs.300					

Note:- Interest of 18 %P.A. will be charged on deemed allocation from Broker Own fund for meeting cash component requirement as per SEBI Circular- SEBI/HO/MRD2_DCAP/CIR/2021/0598 dated July 20, 2021and any modification to said circular.

*** As per Government Rules Pledge charges Rs.35/- per transaction.**

***STT/CTT, Stamp Duties, GST, Transaction Charges, Risk Management Fees etc. as per levied by Statutory Bodies/Government/Exchanges etc.**



Signature Of the Applicant

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

JK Securities Private Limited DP ID - IN 300636 / IN300999 / IN302381 Opp. People9s Bank Park, Sardargunj Road, Anand 388 001 T : +91 2692 225041/42/37 F : +91 2692 240383			DP COPY W.E.F : 01/06/2019 Schedule 8A9 Charges : (for Beneficial Owner)
Charge type	Account Opening/ Closing	Annual Maintenance Charge	
BSDA	NILL	NIL – Value of holding is up to 3 50,000	
		3 100 – Value of holding is from 3 50,001 – 3 2,00,000	
		3 1500 Value of holding is above from 3 2,00,000	
Non BSDA Non Life Time Non Individual Account	3 1,500		
Non BSDA Non Life Time Off line Individual	Non BSDA Non Lifetime one year AMC free with e–communication 3 350		
	3 1,000 (10 years with E–communication)		
Ekyc account scheme	3 0 (10 Years with E–Communication)		
DeMat/ MF Conversion	3 10 per certificate + 3 50 Postal Charges (Payable upfront).		
ReMat Charge	3 30 per certificate + 3 50 Postal Charges + NSDL Charges.		
Transaction Charge Buy Market Transfer	NIL		
Sell Market Transfer	3 18 per transaction for clients trading through JK Securities Private Limited.		
	Non BSDA (Payable up front) 3 30 per transaction or 0.04% of value of transaction, whichever is higher for client trading through other brokers	BSDA (Payable up front) 3 100 per transaction or 0.04% of value of transaction, whichever is higher for client trading through other brokers	
Off Market Transfer Receipt	NIL		
Debit (Payable Upfront)	3 18 per transaction or 0.02% of the value of transaction whichever is higher if transferred within JK Securities Pvt. Ltd.	3 30 per transaction or 0.04% of the value of transaction twichichever is higher if transferred to other DP clients	3 100 per transaction or 0.04% of value of transaction, whichever is higher if transferred to other DP clients
Inter Depositoty Transaction Charge	3 25 per transaction or 0.04% of the value of transaction whichever is higher (Payable up front)		
Pledge Creation Charge	3 100 per transaction or 0.01% of the value of transaction whichever is higher (Payable up front)		
Pledge Closure/ Invocation Charge	NIL		
Speed-E Charges	3 750 per quarter		
Speed-E A/c Freeze Charges	3 125 per freeze instruction		
For Cash Segment	Pledge Create Charges 3 15 + GST Pledge Release Charges 3 10 + GST		
For F&O, CDS, MCX & NCDEX Segments	Pledge Create Charges 3 35 + GST Pledge Release Charges 3 30 + GST		

Note:- Interest of 18 %P.A. will be charged on deemed allocation from Broker Own fund for meeting cash component requirement as per SEBI Circular- SEBI/HO/MRD2_DCAP/CIR/2021/0598 dated July 20, 2021and any modification to said circular.

JK Securities Private Limited

DP ID - IN 300636 / IN300999 / IN302381

Opp. People9s Bank Park, Sardargunj Road, Anand 388 001

T : +91 2692 225037/38 F : +91 2692 240383

DP COPY

W.E.F : 01/06/2019

Schedule 8A9

Charges : (for Beneficial Owner)

	<input type="checkbox"/> ₹ 350 Non BSDA Non Lifetime one year AMC free with e-communication AMC ₹ 350 + GST ₹ 63 Total ₹ 413	
Market Sell Transfer	Within JKSP : ₹ 25 per transaction for clients trading through JK Securities Pvt. Ltd.	Outside JKSP : ₹ 30 per transaction or 0.04% of value of transaction, whichever higher is if transfer to other DP Clients(Payable up front)
Off Market Sell Transfer	Within JKSP : ₹ 25 per transaction or 0.01% of value of transaction, whichever is higher if transfer within JKSP(Payable up front)	Outside JKSP : ₹ 30 per transaction or 0.04% of value of transaction, whichever higher is if transfer to other DP Clients(Payable up front)
Slip Book Issuance (Payable Upfront)	DeMat Rejection	Late Fee (Payable Upfront)
₹ 50 from second issuance	₹ 25 per Rejection.	₹ 50 per Instruction.
Modification Charges (Payable Upfront)	Statement Charges (Payable Upfront)	PoA Charges
₹ 50 per Account per Day	₹ 10 per request (Physical Copy)	₹ 300

** All applicable government taxes will be levied separately. (GST 18%)

First Holder	Second Holder	Third Holder
08 ✓	04 ✓	04 ✓

Declaration of FEMA Regulation (compliance for NRI)

From,

Name _____

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Address _____

To,

JK Securities Private Limited

Opp. People9s Bank Park,

Sardargunj Road, Anand- 388001

Dear Sir/Ma9am,

I/We are having an NRI Demat Account Number _____ with you in the name of _____ (First Holder Name).

I/We declare that I/we have complied and will continue to comply with FEMA regulations.

09	05	05
Signature of First/Sole Applicant/Guardian	Signature of Second Applicant	Signature of Third Applicant

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts – Extension of timelines and relaxations for existing account holders]

TM / DP		FORM FOR NOMINATION																						
Name and Address		(To be filled in by individual applying singly or jointly)																						
Date	D	D	M	M	Y	Y	Y	Y	UCC/DP ID	I	N						Client ID							
Trading No: -																								
I/We wish to make a nomination. [As per details given below]																								
Nomination Details																								
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																								
Nomination can be made upto three nominees in the account.						Details of 1 st Nominee						Details of 2 nd Nominee						Details of 3 rd Nominee						
1	Name of the nominee(s) (Mr./Ms.)																							
2	Share of each Nominee		Equally <small>[If not equally, please specify percentage]</small>			%						%						%						
						Any odd lot after division shall be transferred to the first nominee mentioned in the form.																		
3	Relationship With the Applicant (If Any)																							
4	Address of Nominee(s)																							
						City / Place:																		
						State & Country:																		
						PIN Code																		
5	Mobile / Telephone No. of nominee(s) #																							
6	Email ID of nominee(s) #																							
7	Nominee Identification details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> <input type="checkbox"/> Demat Account ID																							
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																								
8	Date of Birth {in case of minor nominee(s)}																							
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																							
10	Address of Guardian(s)																							

	City / Place: State & Country:						
		PIN Code					
11	Mobile / Telephone no. of Guardian #						
12	Email ID of Guardian #						
13	Relationship of Guardian with nominee						
14	Guardian Identification details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID						
Name(s) of holder(s)						Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)						✓	
Second Holder (Mr./Ms.)						✓	
Third Holder (Mr./Ms.)						✓	

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

Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Name and Signature of Witness		
1. _____	2. _____	3. _____
Address: -		
.....		

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

INSTRUCTIONS

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee, subject to the Exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee shall be valid discharge by the Depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the Depository shall not be under any obligation to transfer the securities in favour of the Nominee.
8. Nomination can be made up to three nominees in a Demat account. In case of multiple nominees, the client must specify the percentage of share for each nominee that shall total up to hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence details of nominees as mentioned in the FORM 10 at time of substitution will be considered. Therefore please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any author-

ized for attesting the documents, as provided in Annexure D.

11. Saving Bank Account details shall only be considered if the account is maintained with the same participant.

DECLARATION FOR DEMAT ACCOUNT

The Rules & Regulations of the Depository and Depository Participants 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. 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. In case of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMS regulations. I/We acknowledge the receipt of copy of Document <Rights & Obligations of the BO and DP=.

DECLARATION FOR TRADING ACCOUNT

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 & Procedures, Voluntary & Non-Voluntary Documents of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of 8Rights & Obligations9 document(s), 8Risk Disclosure Document9, Dos & Don9ts and Guidance Note. 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 broker9s designated website, if any, i.e. www.jksecurities.com

11 ✓	Signature of First/Sole Applicant
07 ✓	Signature of Second Applicant
07 ✓	Signature of Third Applicant

BASIC INFORMATION ABOUT AML MEASURES FOR GENERAL GUIDANCE OF CLIENTS

Background :

In response to mounting concern over money laundering world wide, G-7 Summit as held in Paris in the year 1989, a policy making body having Secretariat Organisation for Economic Co-operation and Development (OECD) was established, to work for generating necessary political will/willingness to bring about national legislative and regulatory reforms to combat money laundering and terrorist financing.

Objectives:

The brief objectives of these provisions is to establish general framework for the legal fight against money laundering, terrorism, financial crimes and corruption.

- Ensuring that financial institutions are not vulnerable to infiltration or abuse by organized crime groups.
- Building capacity to fight terrorism and trace terrorist money.
- Meeting binding international obligations and avoiding the risk of sanctions or other actions by the international community.
- Avoid becoming heaven for criminals.
- Securing a more transparent and stable financial system that is attractive to foreign investors.

What is money laundering?

- To concealing or hiding financial assets with a view to use it without detection of its source that illegal activity which produced it.
- Through money laundering, the launder transforms the monetary proceeds derived from criminal activity into funds with an apparent legal source.
- It is the process by which criminals try to hide and disguise the true source/origin and ownership of proceeds of their illegal/criminal activities.
- It may be conversion of illegally earned money insert in the financial system and make such money look clean.
- The term Money Laundering⁹ is also used in relation to financing of terrorist activity (where funds may/may not originate from crime).
- It is a medium through which dirty money insert in the financial system and make such money look clean.
- Money is circulated around the financial system in such a way that its ancestry gets hidden.

Activities that can be considered as Illegal/Criminal Activity :

Corruption	Bribery	Counterfeiting and Forgery
Smuggling	Extortion	Prostitution
Gambling	Robbery	Fraud
Kidnapping	Tax Evasion	Drug Trafficking

Various stages of Money Laundering :

1. Placement : It is a initial stage in which money from criminal activities is placed in financial institution. It may be through various methods viz. arranging or breaking up currency transactions in to portions which falls below reporting threshold for specific purpose to avoid reporting requirements.
2. Layering : It is a process of conducting a complex series of financial transactions with a purpose of hiding origin of money and hindering any attempt to trace the funds. It may include multiple trades for security, purchase of financial product such as Life Insurance or purchase of legitimate businesses.
3. Integration : Last and final stage in the re-injection of the laundered proceeds back in to the economy in such a way that they re-enter the financial system as normal business funds.

Consequences of Money Laundering :

Finances terrorism	Encourage crime
Endangers society at large	Weakening of macro economic factors of country
Affects the integrity of the financial system	Government control on economy reduces
Weakening of Law & Order	

Indian Framework :

India has also framed ⁸The Prevention of Money Laundering Act, 2002⁹ (PMLA) which came into effect w.e.f. 01.07.2005. A separate Foreign Intelligence Unit (FIU) is also established as a central monitoring agency/central repository to combat Money Laundering. Necessary notifications/rules/guidelines/circulars/recommendations etc. are also issued and being issued by

FATCA

Foreign Account Tax Compliance Act-Individual

FATCA Declaration Form for Individual Applicants/Investors

Annexure to Common Application Form No. : _____ for :

☐ First/Sole Applicant ☐ Second Applicant ☐ Third Applicant ☐ Guardian ☐ Power of Attorney Holder

The below information is required for all applicant(s), guardian(s), Power of Attorney. Please tick above box as applicable and submit a separate form(s) for each category

FATCA-CRS Details For Individuals & HUF (Mandatory) Non Individual investors should mandatorily fill separate FATCA-CRS Annexure

The below information is required for all applicant(s)/guardian/PoA holder

Category	First Applicant/Guardian	Second Applicant	Third Applicant
1. Full Name of Applicant			
2. Demat & Trading ID			
3. Gender (Please tick whichever is applicable)	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
4. PAN Number			
5. Are you a Tax Resident of country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Is your Country of Birth/ Citizenship other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Is your Residence Address/ Mailing Address/ Telephone No. other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. Is the PoA Holder/person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If you have answered YES to any of above, please provide the below details			
Country of Tax Residence			
Tax Identification Number			
Residence Address for Tax purposes (include City, State, Country & Pin Code)			
Address Type	<input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
City of Birth			
Country of Birth			

In case any of applicant being Resident/Tax Payer in more than one country, provide Tax Identification Number for each country separately

**FATCA Foreign Account Tax Compliance Act - Individual
DECLARATION**

I/We hereby declare that all the particulars given herein are true, correct and complete to the best of my knowledge & belief. I/We further agree not to hold JK Securities Private Limited, its Directors, their Employees, Authorised Persons & Sub-Brokers liable for any consequences/losses/costs/damages in case of any of the above particulars being false, incorrect or incomplete or in any case of my/our not intimating/delay in intimating any changes to the above particulars. I/We hereby authorize JK Securities Private Limited to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us, to any Indian or Foreign Governmental or Statutory or Judicial Authorities/Agencies. the Tax/revenue Authorities, other Investigation Agencies and SEBI registered intermediaries without any obligation of advising me/us of the same. I/We hereby agree to provide any additional information/documentation that may be required in connection with this application.

Certification : I/We have understood the information requirements of this Form (read along with the FATCA-CRS Instructions), stated in pages and hereby certify that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA-CRS Terms & Conditions and hereby accept the same.

I/We agree to indemnify JK Securities Private Limited in respect of any false, misleading, inaccurate and incomplete information regarding my/our <U.S. Person= status for U.S. Federal Income Tax purposes, or in respect of any other information as may be required under applicable Tax Laws.

Name of First/Sole Applicant/Guardian	Name of Second Applicant	Name of Third Applicant
12 ✓	08 ✓	08 ✓
Signature of First/Sole Applicant/Guardian	Signature of Second Applicant	Signature of Third Applicant

Date

D	D	M	M	Y	Y	Y	Y
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Place _____

FATCA Instructions

Details under FATCA-CRS/Foreign Tax Laws

Towards compliance with Tax Information Sharing Laws, such as FATCA and CRS, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. **Should there be any change in any information provided by you, please ensure you advise us promptly, i.e. within 30 days.** Towards compliance with such laws, 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. As may be required by domestic or overseas regulators/tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

It is mandatory to supply a TIN or functional equivalent in the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Mobile & Email ID Declaration

Date

D	D	M	M	Y	Y	Y	Y
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DP ID :	Client ID :
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Trading Code	Client Name

Name of First Holder		
	Details	Relationship with the person whose Mobile Number /Email ID is provided (Tick wherever applicable)
Mobile No.		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have mobile number
Email ID		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have email ID

Name of Second Holder		
	Details	Relationship with the person whose Mobile Number /Email ID is provided (Tick wherever applicable)
Mobile No.		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have mobile number
Email ID		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have email ID

Name of Third Holder		
	Details	Relationship with the person whose Mobile Number /Email ID is provided (Tick wherever applicable)
Mobile No.		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have mobile number
Email ID		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have email ID

I wish to receive e-Statement ☐ Yes ☐ No

Signature of First Holder	<div style="text-align: center;"><div style="border: 1px solid black; border-radius: 50%; width: 20px; height: 20px; line-height: 20px; margin: 0 auto;">13</div><div style="font-size: 2em; margin-top: 5px;">✓</div></div>
Signature of Second Holder	<div style="text-align: center;"><div style="border: 1px solid black; border-radius: 50%; width: 20px; height: 20px; line-height: 20px; margin: 0 auto;">09</div><div style="font-size: 2em; margin-top: 5px;">✓</div></div>
Signature of Third Holder	<div style="text-align: center;"><div style="border: 1px solid black; border-radius: 50%; width: 20px; height: 20px; line-height: 20px; margin: 0 auto;">09</div><div style="font-size: 2em; margin-top: 5px;">✓</div></div>

1. Pre-requisites for becoming Investor/Client for the New MFSS facility

1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS.

1.2. The Client intends to execute his instruction for the subscription /redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.

1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.

1.4. The Client has approached to the Participant with the application for availing the New MFSS facility.

1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants

2. Terms and Conditions

2.1. The client shall be bound by circulars issued by NSEIL from time to time including the Circulars issued by NSEIL since 2009 onwards and circulars issued thereafter and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.

2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.

2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a order with the Participant.

2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.

2.5. The client shall be wholly responsible for all his investment decisions and instruction.

2.6. The client shall ensure continuous compliance with the requirements of NSEIL, SEBI and AMFI.

2.7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the

Client.

2.8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.

2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and/or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

I have read & understood the above and agree to abide by the same.

14

✓

Signature of the Applicant

Date

D	D	M	M	Y	Y	Y	Y
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AUTHORIZATION LETTER FOR ELECTRONIC COMMUNICATION (DEMAT)

VOLUNTARY

Name _____

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Demat A/c No. _____

Address _____

To,

JK Securities Private Limited

Opp. People9s Bank Park, Sardargunj Road, Anand 388 001

T : +91 2692 225037/38 F : +91 2692 240383

Dear Sir

Sub : Mandate to issue Holding & Transaction statement, Bills and Ledger in electronic/digital form.

I/ We hereby opt for receipt of Holding & Transaction statement, Bills and Ledger in electronic/digital format as well as any other notices also in electronically.

For the above purpose please take my following e-mail ID on your record for sending the Holding & Transaction statement, Bills and Ledger and other communication to me/us.

e-mail id :

I/ We agree not to hold you responsible for late/non receipt of Holding & Transaction statement, Bills and Ledger send in electronic form, for any reason including 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 conclusive proof of dispatch of Holding & Transaction statement, Bills and Ledger and any other electronic communication to me/us.

I/ We here by accept to the terms and condition as mentioned herein below:

- I/We am/are aware that I / We will not receive the transaction statements in paper form.
- I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- I/We am/are aware that the transaction statement may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.
- In case transaction statements are sent by email, I/We shall immediately inform the DP about change in email address, if any
- In case, the DP is not able to provide transaction statement to its Clients by email or on website due to any reason (including bounced emails), the DP should ensure that the transaction statement is provided to the me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of NSDL.
- I/We am/are desirous of receiving transaction statements in paper form, DPs shall be duty bound to provide the same.

DP and Client(s) shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.

I/We undertake to check the Holding & Transaction statement, Bills and Ledger in digital form. My/Our non verification or not accessing the statement's or bills on regular basis shall not be a reason for disputing at any time.

I/We further agree to indemnify you and keep you indemnify against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/ our direction given above.

Thanking You

Yours faithfully,

<div>15 ✓</div> <div>Signature of First/Sole Applicant/Guardian</div>	<div>10 ✓</div> <div>Signature of Second Applicant</div>	<div>10 ✓</div> <div>Signature of Third Applicant</div>
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VOLUNTARY

28 / 51

Policies and Procedures as per SEBI Circular MRISD/SE/Cir-19/2009 dated December 3, 2009

1. Refusal of orders for Commodity Derivatives

The client is aware and agrees that the Commodity Broker may refuse or restrict a client in placing the order in certain commodities depending on various conditions like volume / value / part of illiquid commodities although a client may have credit balance or sufficient margin in the trading account.

However, Commodity broker under exceptional circumstances may execute client's order. The Commodity Broker has the discretion to reject execution of such orders based on its risk perception.

2. Policy for Penny Stock / Securities

A Security that trades at a relatively low price (generally such securities are trading below face value of the security) and has small market capitalization is a penny stock. These types of stocks are generally considered to be highly speculative & high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure.

The Company recommends that its clients desist from trading in any penny stocks in view of the associated risk element while dealing in such stocks. Further, the client is also required to adhere to Exchange/Members' guidelines and due diligence while trading in such stocks. Also SEBI/Exchange from time to time issues directives necessitating additional due diligence for dealing in such stock(s).

Depending on the market condition, applicable regulatory guidelines and applicable risk policy of the Company, the Company at its sole discretion, may impose certain restrictions and/ or conditions (on case to case basis) including but not limited to refusal, wholly or partly, for trading in penny stocks.

These restrictions/ conditions include but are not limited to the following :

- Restrictions on trading, either wholly or partly, in certain security(ies) or category of security(ies) contracts viz.
- illiquid stocks / stocks having low liquidity,
- illiquid options / far month options / long dated options,
- securities listed in Z, T, TS, S, B group and/or securities listed in BE, IL, BT or EQ series on NSE,
- any other securities/ contracts which as per the perception of the Company are volatile or subject to market manipulation or has concentration risk at client level or at the

Company level,

- acceptance or partial acceptance of an order for buy and/or sell. Such acceptance may require execution in a controlled environment (for e.g. from centralized desk instead of from designated dealing area or electronic platform);
- cancellation of orders of the above securities contracts received from clients before execution or after partial execution without assigning any reasons thereof;
- Requirement to obtain appropriate declarations from the client before/after accepting such orders.

The Company shall :

- not be responsible for non-execution / delay in execution of such orders and consequential opportunity loss or financial loss to the client
- have the discretion to place such restrictions, notwithstanding the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities/contracts through the Company itself;
- have the right to revise the list of such securities/contracts on a periodic basis.

Client can obtain the information about the updated list of securities from the Relationship Manager / Dealing office

100% margin will be taken from the client and these shares will not be taken to as Margin deposit.

May require compulsory settlement/advance payment of expected settlement value/delivery of securities for settlement prior to acceptance/placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker/exchange(s) as assessed by the Broker

3. Setting up client's exposure limits

Margin based limit/exposures will be set for clients for transacting in Cash, F&O and Commodity segment. While computing the available margin, clear credit lying in client's settlement and margin ledger, securities held in client's beneficiary account with Member may be considered.

Margin can be paid in form of cash and approved collateral. Collateral will be valued on daily basis at latest/previous day's closing price and appropriate

hair-cut shall be applicable. List of approved collaterals / securities along with applicable haircut, is subject to revision from time to time based on Exchange approved list, market volatility, quality of collateral and internal guidelines; and same can be obtained from the Relationship Manager/Dealing Office.

JK Securities Pvt. Ltd may from time to time impose & vary limits on the orders that the client can place through the Stock Broker9s/Member9s trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.).

JK Securities Pvt. Ltd. may need to vary or reduce the limits or impose new limits urgently on the basis of the Stock Broker9s/Member9s risk perception and other factors considered relevant by the Stock Broker /Member including but not limited to client's trade history / experience, if available, client9s financial capacity and / or credit worthiness limits on account of the Exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.) and JK Securities Pvt. Ltd. may be unable to inform the client of such variation, reduction or imposition or the clients inability to route any order through the Stock Broker9s/Member9s trading system on account of any such variation, reduction or imposition of limits.

The client further agrees that JK Securities Pvt. Ltd. may at any time, at its sole discretion and without prior notice, prohibit or restrict the client9s ability to place orders or trade in securities/commodities through JK Securities Pvt. Ltd., or it may subject any order placed by the client to review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by Stock Broker / Exchange / SEBI and any other reasons which JK Securities Pvt. Ltd. may deem appropriate in the circumstances. Sometimes client's sauda go to IOC (immediate or cancel) instead of normal trading if broker terminals is on square off mode.

The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client.

4. Policy on Brokerage Rate and Other Charges

- Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client through a mentioned document between the client and JKSPPL.
- The brokerage charged to the clients will not be more than the maximum brokerage permissible as per the

rules, regulations and bye-laws of the relevant Exchange / SEBI.

- In consideration of providing broking services, the client agrees to pay to JK Securities Pvt. Ltd., brokerage and statutory levies as are prevailing from time to time and as they apply to the client's account, transactions and to the stock broking services that Stock Broker/Member renders to the client.
- The brokerage and other charges (including taxes thereon) shall be communicated to the client at the time of registration and any variation thereon would be mutually agreed from time to time.
- A schedule of fee and commission, applicable service taxes and other transaction expenses shall also be provided to the client from time to time, upon request.
- The client is aware that any request for change in the Brokerage Rate has to be sent in writing to branch who in turn will forward the request to the Head Office of JK Securities Private Limited. Acceptance/Rejection of such request is at the discretion of JK Securities Private Limited. All the above charges and levies debited to clients would be mentioned in the contract note sent to client.

5. Imposition of penalty / delayed payment charges

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the margin by scheduled date. In case client fails to settle the dues in time, the Company reserves its right to levy late pay in / delayed payment charges at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money. for not making payment of their pay-in / margin obligation on time as per the Exchange requirement / schedule and

The above levy is only a penal measure in case of a client default in meeting settlement and margin obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges. Further all fines/penalties and charges levied upon the client due to its acts/deeds or transactions will be recovered by the stock broker directly from the clients accounts.

The client agrees that JK Securities Pvt. Ltd. may impose fines/penalties for any orders/trades/deals/ actions of the client which are contrary to the Client Registration documents / Rights and Obligations document/rules/regulations/bye laws of the Exchange or any other law for the time being in force, at such rates and in such form as it may deem fit.

Further where JK Securities Pvt. Ltd. has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client.

JK Securities Pvt. Ltd. provides exposure against the upfront margin received in the form of cash/collateral from the client and the client also has the prerogative to demand withdrawal of cash or collaterals at his discretion, subject to surplus margin in place. JK Securities Pvt. Ltd. shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with the Stock Broker/Member except for the corporate benefit received on such collateral securities, if any.

6. Liquidation Policy

(The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of clients dues)

Without prejudice to the Stock Broker's/Member's other rights (including the right to refer the matter to arbitration), the client agrees and confirm that JK Securities Pvt. Ltd. shall be entitled to liquidate/sell client's securities/positions/contracts, both unpaid securities as well as collateral deposited towards margin or securities previously purchased by the client or close out all or any of the clients open positions/contracts without giving notice to the client for non-payment of margins or other lawful amounts including the pay in obligation, lawful outstanding debts, etc -within 5 trading days from the trade day i.e T+5- to the extent of client's settlement/margin obligation only. The liquidation so done will be on LIFO method. The proceeds of such liquidation/close out, if any, would be adjusted against the clients liabilities/lawful obligations. The client would be required to make good the shortfall, if any post liquidation, immediately on being intimated of the same by JK Securities Pvt. Ltd..

The client shall ensure timely availability of funds/securities in form and manner at a designated time and in designated bank and depository accounts(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/closing out shall be charged to & borne by the client. In case of securities lying in a client margin account/client beneficiary account and having corporate actions like bonus/stock split, the benefit of the same for margin or other purpose will be given when the shares are actually received in the Stock Broker's designated depository account.

In case the payment of the margin, settlement obligation is made by the client through a bank instrument, JK Securities Pvt. Ltd. shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument. Where the margin is made available by way of securities JK Securities Pvt. Ltd. is empowered to decline its acceptance as margin and/ or to accept it at such reduced value as JK Securities Pvt. Ltd. may deem fit by applying haircuts or by valuing it by marking it to market or by any other approved method as JK Securities Pvt. Ltd. may deem fit in its absolute discretion.

JK Securities Pvt. Ltd. has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. JK Securities Pvt. Ltd. will have sole discretion to decide the stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the Exchange(s).

7. Close out in case of internal shortage

The client hereby agrees that if he/she/it has short delivered any securities/commodities against his/her/its pay-in obligation which resulted in internal shortages i.e. buy position of another client of JK Securities Pvt. Ltd. then close out price will be at higher of 10% above the trade day's closing price or the closing price on settlement (pay-in pay-out) day or such other percentage (%) as may be revised by the Stock Broker /Member from time to time.

The internal close out policy for handling internal shortage in Commodities is in line with the Exchange Policy for handling shortage at Exchange level.

Any changes in this policy will be updated on JK Securities website from time to time.

8. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

JK Securities Pvt. Ltd. may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by Stock Broker/Exchange/SEBI and any other reasons which JK Securities Pvt. Ltd. may deem appropriate in the circumstances.

A. For nonpayment or erosion of margins or other amounts, lawful outstanding debits etc. and adjust the proceeds of such liquidation/closeout, if any, against the client's liabilities/ lawful obligations.

B. Any order which is executed without the required margin in the Client's account or the broker exposure is more than 90% and above so no fresh trade will be taken.

C. The client hereby authorizes the Stock Broker/ Member to square up all his outstanding positions at the discretion of JK Securities Pvt. Ltd. which are non marked for delivery 15 minutes before the closing time of normal market or if the client's margin is evaporated by 90% in any of exchanges/JK Securities Pvt. Ltd. reserves the right to square off positions by giving adequate notice to the client.

D. Under certain market conditions it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all when there are no outstanding orders either on the buy side or sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filter or for any other reason as prescribed or instructed by SEBI.

E. JK Securities Pvt. Ltd. is entitled to disabled/ freeze the account or trading facility/any other service if, in the opinion of the stock broker, the client has committed a crime, fraud or has acted in contradiction of this client registration documents or/evade/violate any loss rules regulations directions of a lawful authority whether Indian or foreign or if JK Securities Pvt. Ltd. so apprehends.

F. Any profit/loss arising out of this transactions shall be at the risk of and borne by the client.

9. Temporarily suspending or closing a client's account at the client's request

The client account can be suspended temporarily, on receipt of specific formal communication from the client. During the period the client account is suspended, the market transaction in the client account will be prohibited. However, at the time of making such request, the client has to ensure that the trading account has been duly settled (both for securities as well as funds). JK Securities Pvt. Ltd. shall also settle the funds and securities due to client, if any, within such period as prescribed by exchange for settlement of account.

Such accounts shall be re-activated and any new requests for orders to trade shall be accepted from such clients only on receipt of formal communication from the client requesting re-activation of account in order

to enable the client to trade along with completion of all required formalities of KYC including updation thereof, if necessary.

The account may be suspended on following condition also

- On notices received from statutory, Government or Local authorities and Income Tax, Service Tax, a Judicial or a Quasi Judicial authority, etc.
- Where a client is reported to or known to have expired.

The client shall be entitled to close his trading account and terminate the client registration documents/ relationship under the Rights and Obligations prescribed by SEBI which has been entered into between the client and JK Securities Pvt. Ltd. by giving 30 days notice (in case of termination) without giving any reasons to the Member. Notwithstanding any such termination, all rights, liabilities and obligations of the client arising out of or in respect of transactions entered into prior to the termination shall continue to subsist and vest in/be binding on the client.

At the time of making such request, the client has to ensure that all the open positions, if any, taken by the client are closed and the trading account has been duly settled (both for securities as well as funds). JK Securities Pvt. Ltd. shall settle the funds and securities due to client, if any, latest within a period of seven days from the date of closure of such account.

If the client wants to re-open the account, the client has to complete the applicable client registration process including due completion of applicable Know Your Customer (<KYC=) requirement.

10. De-registering a client

JK Securities Pvt. Ltd. shall be entitled to close a client's trading account and terminate the Member-Client registration documents/Relationship under the rights and obligations prescribed by SEBI without giving any reasons to the client, after giving formal notice in writing of not less than one month to the client. The account shall be deemed to have been closed effective 30th day from the date of receipt of such termination notice by the client. Notwithstanding any such termination, all rights, liabilities and obligations of both, the client and the Member, arising out of or in respect of transactions entered into prior to the termination shall continue to subsist and vest in/be binding on both, the client and JK Securities Pvt. Ltd..

The client has to ensure that all the open positions, if any, taken by the client are closed and the trading

account has been duly settled (both for securities as well as funds). JK Securities Pvt. Ltd. shall settle the funds and securities due to client, if any, latest within a period of seven days from the date of closure of such account.

JK Securities Pvt. Ltd. recommends the client not to undertake any further trading during the notice period and any trades of urgent nature would be undertaken by JK Securities Pvt. Ltd. against receipt of funds and/or securities prior to execution of such orders.

Notwithstanding anything to the contrary stated above or in the Client Registration Documents/Rights and Obligations Document, JK Securities Pvt. Ltd. shall be entitled to terminate the relationship under Rights and Obligations prescribed by SEBI/Client Registration Documents with immediate effect in any of the following circumstances:

- If the actions of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others;
- If there is any commencement of a legal process against the client under any law in force or the client is banned from accessing financial markets by any regulatory or any such adverse orders is passed against the client;
- On the death/lunacy or other disability of the client;
- If the client being a partnership firm, has any steps taken by the client and/or its partners for dissolution of the partnership;
- If the client suffers any adverse material change in his/her/its financial position or defaults in any other client registration documents with JK Securities Pvt. Ltd.;
- If there is reasonable apprehension that the client is unable to pay its debts or the client has admitted its inability to pay its debts as they become payable;
- If the client is in breach of any term, condition or covenant of JK Securities Pvt. Ltd. Client Registration Documents/Rights & Obligations Document;
- If the client has made any material misrepresentation of facts or if any covenant or warranty of the client is incorrect or untrue in any material respect;

11. Treatment of inactive accounts

In case the Trading account of the client is not operated by the client for a continuous period of one year the same will be considered to be Inactive Account. Such Inactive Account may be reactivated for trading

receipt of application for re-activation from the client along with necessary supporting documents. JK Securities Pvt. Ltd. employee may carry out In-Person Verification of the Inactive Client and shall validate the supporting documents submitted by the client with the originals.

12. Client's acceptance of policies and procedures stated herein above

I/We have thoroughly read and fully understood the same and do hereby sign and agree not to call into question the validity, enforceability and applicability or any provision/clause of this document under any circumstances what so ever. This policies may be amended/changed unilaterally by JK Securities Pvt. Ltd. provided the change is informed to me/us through any one or more means/methods such as post/speed post/ courier/ registered post/ registered ad/ facsimile/ telegram/ email/ voice mail/ telephone (telephone includes such devices as mobile phone etc.) including SMS on the mobile phone or any other similar device/ by messaging on the computer screen of the client's computer/ informing the client through the employee/ agent/ sub brokers/ authorised person of JK Securities Pvt. Ltd./ by publishing or displaying it on the website of JK Securities Pvt. Ltd./ broadcast/ newspaper advertisement etc. or any other suitable or applicable mode or manner. I/We agree that the delivery shall be complete when communication is given to the postal department/ courier company/ the email/ voice mail/ SMS service provider etc./ when displayed on JK Securities Pvt. Ltd.'s website by JK Securities Pvt. Ltd. and I/we agree to abide by the same. These policies and procedures always be read along with other provisions of the KYC mandatory documents and shall compulsarily refer to while deciding any disputes/ differences or claim between me/us and JK Securities Pvt. Ltd. before any court of law/ arbitrary or mediator/ judicial/ adjudicating authority etc.



Signature of the Applicant

Date

D	D	M	M	Y	Y	Y	Y
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Undertaking/Authorisation

VOLUNTARY

**With respect to Member-Constituent Relationship and
Mandatory and Voluntary (Optional) Documents executed between us,
I/We do hereby authorize JKSPIL to do the following**

1. Order Placement Instructions : I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/Emailing the Call centre/branch specified for the said purpose by JKSPIL in case of breakdown of internet connectivity or other similar reasons.

I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify JKSPIL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

2. Errors and Omissions : I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances JKSPIL shall make all reasonable efforts to rectify the same and ensure that the I am not put to any monetary loss. I understand and agree that I shall not hold JKSPIL responsible beyond this and claim additional damages/loss.

I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by JKSPIL

3. No Market Manipulation : I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, JKSPIL has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4. Not To Act As Unregistered Sub Broker : I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients In 33

case I wish to deal for other clients also, I undertake to apply to SEBI through JKSPIL to obtain a sub broker registration.

In case JKSPIL perceives that I am acting as an unregistered sub broker, JKSPIL has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to JKSPIL without the requirement of any notice from JKSPIL. Further, JKSPIL has the right to inform the concerned regulatory authorities about the same.

In aforesaid eventuality, I agree and undertake to indemnify JKSPIL from any loss/ damage/claim arising out of such activity.

5. Not Debarred By Any Regulator : I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/or Statutory authority to deal in securities directly or indirectly. I agree to inform JKSPIL, in writing, of any regulatory action taken by any Exchange or Regulatory/Statutory authority on me in future. In case I fail to inform the same and JKSPIL on its own comes to know of such action, JKSPIL has the right to suspend/close my trading account and refuse to deal with me.

Also, JKSPIL can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without giving any notice to me.

6. PMLA Declaration : I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by JKSPIL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that

- a. I do not have any links with any known criminals
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

7. Indemnification : I hereby indemnify and hold JKSP, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the JKSP directly or indirectly, relating to bad delivery of shares/securities and/or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/operations on the Exchange(s) and/ or proof of address, identity and other supporting documents provided by me at the time of registration and/ or subsequently.

18 ✓

Applicant's Signature

Applicant's Name

8. Not a Member Or Sub Broker Of a Recognised Stock Exchange : I further undertake that whenever I purchase/sell any securities through my depository account, I will report such transactions on a daily basis to dealing branch/ authorized dealer. I also state and undertake that I have complied and shall continue to comply with all the FEMA regulations from time to time.

I undertake and confirm that I am not a Member or sub-broker or employee or Authorized person of a Member of the National Stock Exchange of India Ltd. or The Bombay Stock Exchange Ltd. or any other recognized Stock Exchange and in the event of becoming Member or Sub-broker or Employee or Authorized person of a Member of a recognized Stock Exchange(s) in future, I shall not execute trades through JKSP.

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

CONSENT LETTER FOR TRADING IN COMMODITY OPTIONS (MCX & NCDEX)

I/We the undersigned is maintaining Account No. _____

in the name of _____

Further to my/our KYC details I/We intent to trade in Commodity Options subject to regulatory requirements of the Exchange and SEBI from time to time.

I/We hereby further confirm that I/we have been made aware about Risk of Option Holders and Option Writers and received a copy of Annexure-1 containing details about Additional Risk Disclosure for Options Trading from Stock Broker/Member

Thanking you,

Name of the Client : _____

Signature of Client :

19 ✓

Running Account Authorization Form

Name
Address:

To,
JK Securities Private Limited
Opp. People's Bank Park, Sardar gunj Road,
Anand-388001

Dear Sir,

I/We are dealing through you as a client in Capital Market/Future & Option/ Currency Derivatives/Commodities Derivatives Segment and in order to facilitate ease of operations and upfront requirement of margin for trade under the below mentioned client code. I/We would like to authorize JK Securities Private Limited (further referred to as "JKSPL") to settle my accounts in accordance to the updated guidelines in force given from SEBI cir-SEBI/HO/MIRSD/MIRSD-PoD1/P/CIR/2023/197 dated December 28, 2023 & Exchange circular nos.

NSE circular no. NSE/INSP/60014 dated December 28, 2023, BSE circular no 20231228-63 dated December 28, 2023, MCX circular Circular no.: MCX/INSP/937/2023 dated December 28, 2023 and NCDEX circular no NCDEX/COMPLIANCE-155/2023 dated December 29, 2023. I/We have read and understood the same. In this regard, I/we confirm the following:

1. I hereby authorize JKSPL to settle across segments and across stock exchanges.
2. I also acknowledge and confirm that JK Securities Private Limited to settle my fund account on
☐ First Friday & Saturday of the Quarter
☐ First Friday & Saturday of the Month

Such other higher period as allowed by SEBI/Stock Exchange from time to time

3. In case I have outstanding trade position on the day of settlement, I/We hereby authorize JKSPL to retain funds calculated in the manner specified below:
 - A. Entire pay-in obligation of funds outstanding at the end of the day on the date of settlement, across all segments;
 - B. JKSPL can retain 50% of End of Day (EOD) margin as cash margin excluding the margin on consolidated crystallized obligation/ MTM.
 - C. further apart from 50% cash margin requirement, , I/we authorize JK Securities Private Limited to retain additional 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral by way of 8margin pledge⁹. The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM.

4. I confirm you that I shall bring any dispute on the statement of running account, to your notice within 30 working days from the date of the statement

I/We confirm you that I can revoke the above mentioned authority any time in writing to you.

Yours Faithfully,



Signature of the Applicant

Name of the Applicant

Client Code

**Terms and Conditions for Research Services Provided as per SEBI circular no-
SEBI/HO/MIRSD/ MIRSD-PoD-1/P/CIR/2025/004 date January 08, 2025**

These Terms and Conditions (the “Agreement”) set forth the minimum mandatory terms and conditions applicable to the research services provided by the Research Analyst (“RA”) to the client, in accordance with the SEBI (Research Analysts) Regulations, 2014. By subscribing to the RA’s research services, the client confirms acceptance of these Terms and Conditions.

1. RA Details and Declaration

-) **Name:** JK Securities Private Limited
-) **Registration No.:** INH000007289
-) **E-mail:** Research@jksecurities.com
-) **Address:** Opp. People’s Bank Park, Sardar Gunj, Anand- 388001 (Gujarat)
-) **Contact Person:** Prashant Buranpurkar
-) **Correspondence Address:** Opp. People’s Bank Park, Sardar Gunj, Anand- 388001 (Gujarat)
-) **Validity:** May 16, 2027 - Perpetual

Declaration by the RA:

- i. The RA is duly registered with SEBI as a Research Analyst pursuant to the SEBI (Research Analysts) Regulations, 2014, with the registration details provided above.
- ii. The RA possesses the requisite registration and qualifications necessary to render the services contemplated under the RA Regulations, and such registration is valid and subsisting.
- iii. The research analyst services provided by the RA do not conflict with or violate any applicable law, rule, regulation, contract, or any other instrument to which the RA or its property is subject.
- iv. The maximum fee that may be charged by the RA is ₹1.51 lakhs per annum per family of the client.
- v. The recommendations provided by the RA do not guarantee any returns.
- vi. As an individual RA, _ confirms that he is not engaged in any additional professional or business activities on a full-time or executive basis that could interfere with or influence the independence of the research reports and/or recommendations provided.

2. Availing of Research Services

By accepting the delivery of the research service, the client confirms that they have elected to subscribe to the RA’s research service at their sole discretion. The RA shall render research services in accordance with the applicable provisions of the RA Regulations.

3. Obligations on the RA

Both the RA and the client shall be bound by the SEBI Act along with all applicable SEBI rules, regulations, and relevant government notifications in force from time to time.

4. Client Information and KYC

The client agrees to furnish all necessary information and supporting documentation as may be required by the RA. The RA will collect, store, and verify the client's KYC records in compliance with the guidelines prescribed by the KYC Registration Agency (KRA) as specified by SEBI.

5. Standard Terms of Service

By subscribing to the research services, the client acknowledges and consents to the following:

) Understanding of Service:

"I/We have read and understood the terms and conditions applicable to a Research Analyst as defined under Regulation 2(1)(u) of the SEBI (Research Analysts) Regulations, 2014, including the fee structure.

I/We are subscribing to the research services for our own benefit and consumption, and any reliance placed on the research report provided by the RA shall be based on our own judgment and assessment of its conclusions.

I/We understand that:

1. Any investment made based on the recommendations in the research report is subject to market risk.
2. The recommendations in the research report do not provide any assurance of returns.
3. There is no recourse to claim any losses incurred on investments made based on these recommendations."

6. Consideration and Mode of Payment

The client shall pay the RA the agreed fees for the research services along with any applicable statutory charges. Payment shall be made via the modes/mechanisms as specified by the RA.

7. Risk Factors

The RA will provide a statement covering the standard risks associated with investments in securities. Clients are advised to consider these risks before making any investment decisions.

8. Conflict of Interest

The RA shall adhere to all applicable SEBI regulations, circulars, and directions related to the disclosure and mitigation of any actual or potential conflict of interest. Any mandatory disclosures regarding conflicts of interest will be provided by the RA.

9. Termination of Service and Refund of Fees

The RA reserves the right to suspend or terminate the rendering of research services in the event of suspension or cancellation of its registration by SEBI. In such an event, the RA shall refund the fees on a pro rata basis for the period from the effective date of cancellation/suspension to the end of the subscription period.

10. Grievance Redressal and Dispute Resolution

Any grievance concerning:

-) Non-receipt of the research report,
-) Missing pages or inability to download the complete report, or
-) Any other deficiency in the research services,

Shall be promptly escalated to the designated contact person Prashant Buranpurkar on Research@jksecurities.com. The RA will address all grievances within 7 business days or within the timelines specified by SEBI. Any dispute between the RA and the client may be resolved through arbitration or other mechanisms as directed by SEBI.

11. Additional Clauses

Any additional voluntary clauses introduced by the RA shall not contravene any SEBI rules, regulations, or circulars. The RA will issue a notice of 15 days prior to making any changes in such voluntary clauses.

12. Mandatory Notice

Clients are advised to review the “Do’s and Don’ts” while dealing with the RA as specified in the SEBI master circular no. SEBI/HO/MIRSD-POD-1/P/CIR/2024/49 dated May 21, 2024, or as may be updated by SEBI.

13. Most Important Terms and Conditions (MITC)

The RA will also disclose the Most Important Terms and Conditions (MITC) to its clients as standardized by the Industry Standards Forum (ISF) in consultation with SEBI and RAASB.

**Most Important Terms and Conditions (MITC) as per SEBI circular no-
SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/20
[Forming part of the Terms and Conditions for providing research services]**

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.

2. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).

Note:

2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.

2.2. The fee limit does not include statutory charges.

2.3. The fee limits do not apply to a non-individual client / accredited investor.

3. RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.

4. Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).

5. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.

6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.

7. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.

8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.

9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.

10. For any grievances,

Step 1: the client should first contact the RA using the details on its website or following contact details:

Email id- igc@jksecurities.com/compliance@jksecurities.com

Contact Person- Mr. Manish Shah –Compliance Officer, Mr. Deepak Shah- AVP Business Development

Contact No- 02692-225005/ 02692-225011

Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in

Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>

11. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.

12. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.

Sign of Account Holder : _____

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a <Unique Client Code= (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. 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, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. 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.



Signature of the Applicant

Policy on providing the facility of voluntary freezing/blocking the online access of the trading account to clients

Background:

SEBI vide Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and Exchange Circular no. NSE/INSP/60277 dated January 16, 2024 has issued circular on Facility of voluntary freezing/ blocking of Trading Accounts by Clients”.

As per the said circular trading members are supposed to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients on account of suspicious activities.

Purpose :

The purpose of this Policy is to set out the process to achieve the objective as mentioned above. Major parameters of this Policy are mentioned below :

Mode of intimation by client for freezing/ blocking trading account

The client willing to freeze/block the on-line access of trading account on account of observance of any suspicious activity may request for voluntary freezing/ blocking the online access of trading account through following mode

- a) Email from registered e-mail ID to JK's registered email id: **stoptrade@jksecurities.com**
- b) SMS from registered mobile number to JK's registered mobile no:_9687658917
- c) Trading Member's App

The request so received will be verified with our record and an acknowledgement will be issued to client post validation

The online access of the trading account given to client will be freezed/blocked as also will 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

Trading hours shall be as follows:

Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m.,
Currency Derivatives Segment: 09.00 a.m. to 05.00 p.m., Commodity Derivatives Segment: 09.00
a.m. to 11:30 p.m. 2To begin with,

the time limit of 15 minutes is being specified for the purpose of issuing acknowledgement as well
as freezing/blocking of the online access of the trading account.

Communication post freezing/blocking on-line access of trading account

A communication will be sent 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 trading account, if any, have been cancelled.

Details of open positions (if any) will also be communicated to the client along with contract expiry
information within one hour from the freezing/blocking of the trading account.

Record Maintenance

Following records/log w.r.t. request received to freeze/block the online access of trading account
be preserved for future use

confirmation given for freezing/blocking of the online access of the trading account and
cancellation of pending orders, if any, sent to the clients.

Process for re-enabling the client for online access of the trading account: -

Submission of duly signed application for online access re-enablement

Request for re-enablement through registered email id

Re-enablement of online access be done after carrying out necessary due diligence including
validating the client request

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 the Trading Member.
- b. The request for freezing/ blocking does not constitute request for marking client Unique Client
Code (UCC) as inactive in the Exchange records.

**Signature of the Applicant**

VOLUNTARY

**Internet & Wireless Technology Based
Trading Facility Provided by Stock Brokers/Members to Clients**
(All the clauses mentioned in the 8Rights And Obligations9 document(s)
shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker/Member is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). JK Securities Pvt. Ltd. shall comply with all requirements applicable to internet based trading/ securities trading/ commodities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities/commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. JK Securities Pvt. Ltd. shall provide the Stock Broker9s IBT Service to the Client, and the Client shall avail of the Stock broker9s/Member9s IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock Broker9s/Member9s IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. JK Securities Pvt. Ltd. shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities/ commodities trading through wireless technology/ internet/smart order routing or any other technology should be brought to the notice of the client by JK Securities Pvt. Ltd..
4. JK Securities Pvt. Ltd. shall make the client aware that the Stock Broker9s/Member9s IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock Broker9s/Member9s IBT System using the Client9s Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/ securities/commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of

JK Securities Pvt. Ltd.

6. The Client shall immediately notify JK Securities Pvt. Ltd. in writing if he forgets his password, discovers security flaw in Stock Broker9s IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client9s Username/password in any manner whatsoever.
8. JK Securities Pvt. Ltd. shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, JK Securities Pvt. Ltd. shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. JK Securities Pvt. Ltd. and the Exchange do not make any representation or warranty that the Stock Broker9s/Member IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or JK Securities Pvt. Ltd. on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker9s IBT System or Service or the Exchange9s service or systems or non-execution of his orders due to any link/system failure at the Client/Stock Brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

20 ✓

Signature of the Applicant

Date

D	D	M	M	Y	Y	Y	Y
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FOR OFFICE USE ONLY
Process List for Account Opening

DESCRIPTION	DATE (DD/MM/YYYY)	TIME	NAME	SIGN
FORM RECEIVED AND CHECKED BY				
INPERSON VERIFICATION BY				
DATA ENTRY OF FORM IN SYSTEM BY				
TRADING (AGREEMENT DATE)				
DEMAT				
ACCOUNT VERIFICATION BY				
TRADING				
DEMAT				
CKYC DATA ENTRY BY				
CKYC VERIFICATION BY				
NDML DATA ENTRY BY				
NDML VERIFICATION BY				
POA REGISTERED BY				
UCC UPLOADED BY				
MAPIN TO RMS BY				
MAPIN TO ONLINE TRADING BY				
WELCOME KIT SENT BY				

REJECTION MEMO

DATE OF QUERY	DESCRIPTION	WHO WAS INFORMED	DATE & TIME OF INFORMING	SOURCE	SIGN

QUERY SOLUTION DATE : _____ APPROVED BY : _____

JK Securities Private Limited. | www.jksecurities.com | Corporate Identity Number: U27204GJ1995PTC025974

Registered office : Opp. People's Bank Park, Sardar Gunj Road, Anand 388001. Gujarat

Stock Broker - INZ000174537 (NSE Membership No. 08239 | BSE Membership No. 6608 | MCX Membership No. 55710 |

NCDEX Membership No. F00547 | Depository Participant ID : IN300636, IN300999, IN302381 | SEBI Research Analyst Registration No. - INH000007289.

Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities.

PLEASE FILL ALL THE DETAILS IN BLOCK LETTERS IN ENGLISH (Please mark (✓) on the appropriate box)

Client Name _____

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Trading Code:

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

NSDL DP ID

I	N	3	0	0	6	3	6
---	---	---	---	---	---	---	---

Demat ID :

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

Dear Sir/Mdam,

I/We executing the Demat Debit and Pledge instruction (DDPI) in favour of **JK Securities Private Limited.**, authorizing them to operate aforesaid beneficiary account for the below mentioned specific purpose.

Annexure-A

Demat Debit and Pledge Instruction

Sr. No.	Purpose	Signature of First/ Sole Holder	Signature of Second Holder	Signature of Third Holder
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	✓	✓	✓
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.	✓	✓	✓
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	✓	✓	✓
4	Tendering shares in open offers through Stock Exchange platforms	✓	✓	✓

Note : This authorization will continue to remain valid until revoked in writing by you (pursuant to SEBI Circular no. **SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04,2022**)

I / We accept (For JK Securities Private Limited.)

Authorised Signatory

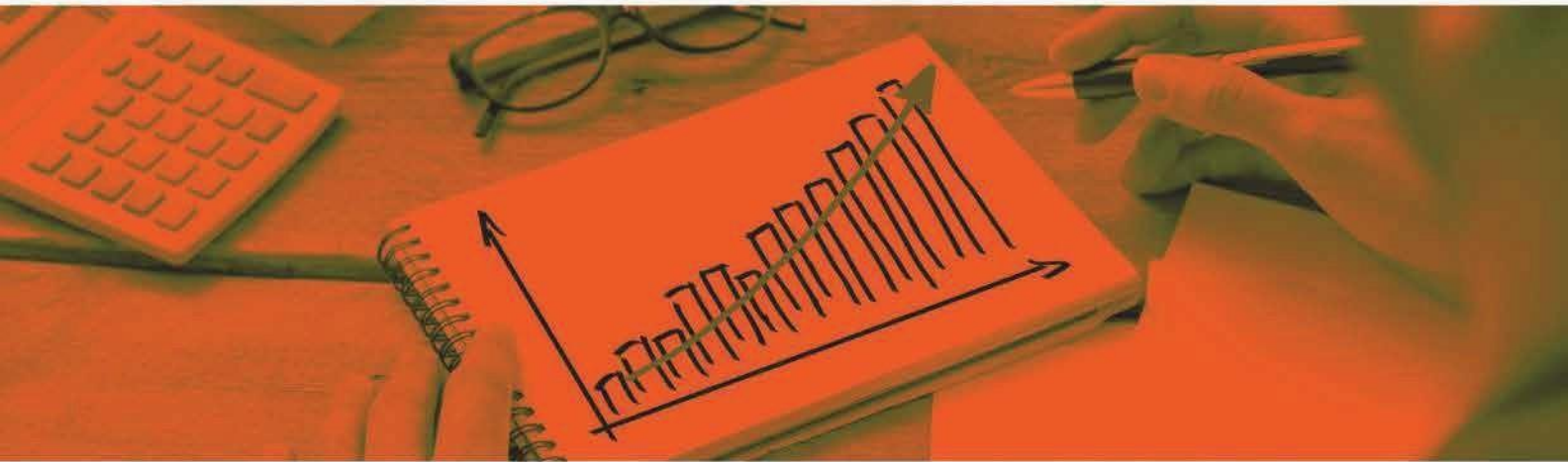
Authorised Signatory

Annexure A - List of Demat Account

SR. No.	Account Holder Name	Demat Account No	CM-BP-ID	DP/CM-NAME	Purpose
Transfer (Pay-IN) the Securities to JKSP's Demat Account(s)					
1	Jk Securities Private Limited	IN300636-10000908	IN554044	JKSP	NSE Pay-IN
2	Jk Securities Private Limited	16010100-00003341	-	SHCIL	NSE Pay-IN (CDSL)
3	Jk Securities Private Limited	16010100-00407065	-	SHCIL	NSE SLBM Pay-IN (CDSL)
4	National Stock Exchange	-	IN565576	NSCCL	NSE Mutual Fund Online Trading
5	Jk Securities Private Limited	IN300636-40033984	IN666089	JKSP	BSE Pay-IN
6	Jk Securities Private Limited	16010100-00429051	-	SHCIL	BSE Pay-IN (CDSL)
7	Bombay Stock Exchange	-	IN620031	ICCL	BSE Mutual Fund Online Trading
Transfer / Pledge the Securities to JKSP's Demat Account(s)					
8	Jk Securities Private Limited	IN300636-40131273	-	JKSP	Client Securities Margin Pledge Account
9	Jk Securities Private Limited	IN300636-40132258	-	JKSP	Client Securities Margin Pledge Account

For Office Use Only

Received By	Entered By	Authorised By
Sign :	Sign :	Sign :
Date : ____ / ____ / ____	Date : ____ / ____ / ____	Date : ____ / ____ / ____



OUR PRESENCE

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