NON INDIVIDUAL FORM

Kindly mark your signature at the highlighted and √ ticked area

JK Securities

SYMBOL OF TRUST

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	
Trading No.	
Receipt No.	
Branch/Broker	

Annexure - 1

Account Opening Kit
INDEX

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Supplimentary 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'Tts 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'Tts for Trading on Exchange

ACKNOWLEDGEMENT

Rights & Obligations Acknowledgement (Brokers & DP)

Date D D M M Y Y Y Y

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, ststement 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 Elegibility 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 - Do's & Don'ts 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		01
Second Holder		01
Third Holder		01

ACKNOWLEDGEMENT SLIP

JK SECURITIES PRIVATE LIMITED

Opp. People's 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 D D M M Y Y Y Y

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, F&O And SLBM.

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. Authorised 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. Authorised 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

Annexure - 2

Instructions/Check list for filling KYC Form

Important Ponts :

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 NRI's, Mariner's 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 holder's (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.	
	K	**Other (please Specify)**_____	
Bank Proof with MIRC/IFSC Code (1 Holder Only)	**A**	**Bank Statement/Bank passbook with cheque leaf** (not more than 3 months old)	
	B	**Banker's Certificate on letter head of the Bank** (Original)	
	C	**Cancelled Personalized Cheque leaf**	
Demat Proof	**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 | | | | | | | | |

	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 & DON'Ts. 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 '*' 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 (√) in the box available before the section number and strike off the sections not required to be updated.

FOR OFFICE USE ONLY : (To be filled by financial institution)
Application Type* ☐ New ☐ Update
KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (Mandatory for KYC Update request)
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Perfix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name (if any*)				
Father/Spouse Name*				
Mother Name*				

Date of Birth* DD MM YYYY

Gender* ☐ M - Male ☐ F - Female ☐ T - Transgender
Marital Status* ☐ Married ☐ Unmarried ☐ Others
Citizenship* ☐ IN - Indian ☐ Others (ISO 3166 Country Code ☐☐)
Educational Qualification ☐ Undergraduate ☐ Graduate ☐ Post Graduate
☐ Professional ☐ Other
Residential Status* ☐ Resident Individual ☐ Non Resident Indian
☐ Foreign National ☐ Person of Indian Origin
Occupation Type* ☐ S - Service (☐Private Sector ☐Public Sector ☐Government Sector)
☐ O - Others (☐Professional ☐Self Employed ☐Retired ☐Housewife ☐Student)
☐ B - Business ☐ Agriculture
☐ X - Not Categorised

Front facing Passport Size Photograph

✓ 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* ☐☐
Tax Identification Number or equivalent (if issued by jurisdiction)* ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Place/City of Birth* ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ ISO 3166 Country Code of Birth* ☐☐

☐ **03. PROOF OF IDENTITY (PoI*)** (Please refer Instruction **C** at the end)
(Certified copy of **any one** of the following Proof of Identity(PoI) needs to be submitted)

A - Passport ☐☐☐☐☐☐☐☐ Passport Expiry Date DD MM YYYY
B - Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
C - PAN Card ☐☐☐☐☐☐☐☐☐☐
D - Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Driving Licence Expiry Date DD MM YYYY
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 ☐☐☐☐☐☐☐☐☐☐☐☐

04. PROOF OF ADDRESS (PoA)*

☐ 04.1 CURRENT/PERMANENT/OVERSEAS ADDRESS DETAILS (Please see Instruction **D** at the end)
(Certified copy of **any one** of the following Proof of Identity(PoI) 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 'Annexure A1')

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 'Annexure B1')
(Please refer to instruction **G** at the end)

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

	Perfix	First Name	Middle Name	Last Name
Name*				

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

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

☐ A - Passport Passport Expiry Date DD MM YYYY
☐ B - Voter ID Card
☐ C - PAN Card
☐ D - Driving Licence Driving Licence Expiry Date DD MM YYYY
☐ 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)**

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

03

Signature/Thumb Impression of the Applicant

Date : DD MM YYYY Place :

09. ATTESTATION/FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

Date DD MM YYYY

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

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

'CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/ Other than Individuals

Important Instructions:

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

For office use only Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number *(Mandatory for KYC update request)*

☐ 1. ENTITY DETAILS* (Please refer instruction **A** at the end)

☐ Name*

Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* D D – M M – Y Y Y Y Date of Commencement of Business D D – M M – Y Y Y Y

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN * Form 60 furnished

TIN / GST Registration Number

☐ 2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation ☐ Registration Certificate Regn Certificate No.

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ 3. ADDRESS* (Please see instruction **C** at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2

Line 3 City / Town / Village*

District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3 City / Town / Village*

District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off) – FAX –

Mobile – Email ID

Mobile – Email ID

☐ 5. NUMBER OF RELATED PERSONS (Please refer instruction **E** at the end)

14. REMARKS (If any)

7. APPLICANT DECLARATION (Please refer Instruction **G** at the end)

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D – M M – Y Y Y Y Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

JK Securities
SYMBOL OF TRUST

Annexure - K

Part - I
Know Your Client (KYC) Application Form (for Non Individual)

JK Securities Private Limited DP ID - IN 300636 Opp. People's Bank Park, Sardargunj Road, Anand 388 001 T : +91 2692 258056/57 F : +91 2692 240383	**Cilent ID** (to be filled by Participant)

Please fill this form in ENGLISH and in BLOCK LETTERS

A. Identity Details

Please affix your Passport Size Photograph

(Signature across photograph)

01. Name of the Applicant	
02. Date of incorporation	D D M M Y Y Y Y
Place of incorporation	
03. Date of commencement of business	D D M M Y Y Y Y
04. PAN	
Registration No. (e.g. CIN)	

05. Status (please tick any one)

☐ Private Ltd Co.	☐ NGOs	☐ Society	☐ HUF
☐ Public Ltd Co.	☐ Bank	☐ LLP	☐ AOP
☐ Body Corporate	☐ Government Body	☐ Partnership	☐ BOI
☐ Trust	☐ Non Government Organization	☐ FI	☐ Other (please specify)
☐ Charities	☐ Defence Establishment	☐ FII	

B. Address Details

01. Correspondence Address				
	City/Town/Village		PIN Code	
	State		Country	
02. Specify the proof of address submitted for Corrospondence Address				
03. Contact Details	Tel. (Off.)		Tel. (Res.)	
	Fax		Mobile	
	eMail			
04. Registered Address (if different from above)				
	City/Town/Village		PIN Code	
	State		Country	

C. Other Details

01. Name, PAN, Residential Address and Photographs of Promoters/ Partners/ Karta/ Trustees and whole time Directors	If space here is insufficient, enclose these details separately (Illustrative format enclosed)
02. DIN of whole time Directors	
03. AADHAR number of Promoters/ Partners/ Karta	

D. Declaration

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 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.

Name & Signature of Authorised Signatory(ies)

Date D D M M Y Y Y Y

For Office Use Only

☐ Originals verified and Self-Attested Document copies received

Name & Signature of the Authorized Signatory	Seal/Stamp of the intermediary
Date D D M M Y Y Y Y	

Details of Promoters/ Partners/ Karta/ Trustees and whole time Directors forming a part of Know Your Client (KYC) Application Form (for Non Individual)

Sr. No	Name	Relatioship with applicant (i.e. promoters, whole time Directors etc.)	PAN	Residential/ Registered Address	DIN of whole time Directors/ AADHAR Number of Promoters/ Partners/ Karta	Photograph
01						
02						
03						
04						
05						

Name & Signature of Authorised Signatory(ies)

Date D D M M Y Y Y Y

VOLUNTARY DOCUMENT

JK SECURITIES PRIVATE LIMITED

Opp. Peoples Bank Park Sardar Gunj, Anand – 388001
Phone No. – 02692-225040/41/37/36
Website : www.jksecurities.com Email: info@jksecurities.com
CIN – U27204GJ1995PTC025974 **DP ID - IN300636**

FORM 11

ACCOUNT OPENING FORM
(FOR NON-INDIVIDUALS)

Participant Name (DP ID _____) Address (Pre-printed)	**Client –ID** (To be filled by Participant)

We request you to open a depository account in our name as per the following details: (*Please fill all the details in CAPITAL LETTERS only*) **Date** D D M M Y Y Y Y

A) Details of Account holder(s):

	Name	PAN
Sole/ First Holder		
Second Holder		
Third Holder		

B) Type of account

- ☐ Body Corporate
- ☐ Qualified Foreign Investor
- ☐ Bank
- ☐ FI
- ☐ Mutual Fund
- ☐ CM
- ☐ FII
- ☐ Trust
- ☐ HUF
- ☐ Other (Please specify)
- ☐ AoP for holding the permitted Securities

C) For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of thepartner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:

c) Name | d) PAN

D) Income Details (please specify)

Income Range per annum		Networth
☐ Below 1 Lac	and	Amount (`)_____
☐ 1-5 Lac		As on (date) D D M M Y Y Y Y
☐ 5-10 Lacs		(Networth should not be older than 1 year)
☐ 10-25 Lacs		
☐ 25 Lacs - 1 Crore		
☐ More than 1 Crore		

E) In case of FIIs/Others (as may be applicable)

RBI Approval Reference Number	
RBI Approval date	ren D D M leas M Y Y Y Y
SEBI Registration Number (for FIIs)	

JK SECURITIES PRIVATE LIMITED

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CIN – U27204GJ1995PTC025974 **DP ID - IN300636**

F)	**Bank details**											
	1	Bank account type ☐ Savings Account ☐ Current Account Others (☐ specify) _____										
	2	Bank Account Number										
	3	Bank Name										
	4	Branch Address										
			City/town/ village		PIN Code							
			State		Country							
	5	MICR Code										
	6	IFSC										
G)	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:			☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)								
H)	**Clearing Member Details** (to be filled up by Clearing Members only)											
	1	Name of Stock Exchange										
	2	Name of Clearing Corporation/ Clearing House										
	3	Clearing Member ID										
	4	SEBI Registration Number										
	5	Trade Name										
	6	CM-BP-ID **(to be filled up by Participant)**										
I)	**Standing Instructions**											
	1	We authorise you to receive credits automatically into our account.		☐ Yes ☐ No								
	2	Account to be operated through Power of Attorney (PoA)		☐ Yes ☐ No								
	3	Account to be operated through Demat Debit and Pledge Instruction (DDPI)		☐ Yes ☐ No								
	4	**SMS Alert facility**										
		Sr. No.	**Holder**	**Yes**	**No**							
		1	Sole/First Holder	☐	☐							
		2	Second Holder	☐	☐							
		3	Third Holder	☐	☐							
	5	Mode of receiving Statement of Account [Tick any one]	☐ Physical Form ☐ Electronic Form [*Read Note 3 and ensure that email ID is provided in KYC Application Form*].									

JK SECURITIES PRIVATE LIMITED

Opp. Peoples Bank Park Sardar Gunj, Anand – 388001
Phone No. – 02692-225040/41/37/36
Website : www.jksecurities.com Email: info@jksecurities.com
CIN – U27204GJ1995PTC025974 **DP ID - IN300636**

	6. ☐ **Standing Instruction Indicator for Auto Pledge Confirmation** The Pledger /Pledgee hereby undertake as follows: a) The pledger and pledgee undertake to abide with the provisions of the Indian Contract Act, 1872, the Depositories Act, SEBI Regulations, circulars, and bye-laws in force from time to time, as may be applicable. b) The pledgee undertakes to provide reasonable notice to the pledger and comply with the requirements of Section 176 and 177 of the Indian Contract Act, 1872
K)	**List of family members (Separate Annexure maybe used in case number of members is higher)**

	Sr No.	Name of Coparcener/Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/ Member (please specify)

JK Securities
SYMBOL OF TRUST

JK SECURITIES PRIVATE LIMITED

Opp. Peoples Bank Park Sardar Gunj, Anand – 388001
Phone No. – 02692-225040/41/37/36
Website : www.jksecurities.com Email: info@jksecurities.com
CIN – U27204GJ1995PTC025974 **DP ID - IN300636**

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

(Additional declaration applicable only for AoPs for opening of demat accounts in the name of Association of Persons (AoP) itself for holding the permitted Securities)

1. I/we confirm that the AoP holds only such securities in dematerialized form as permitted by the statutes governing its constitution.
2. I/we confirm that the demat account is not be used for subscribing / holding other than the permitted securities.

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)

Sole/First Holder	**Name**	**Signature(s)**
First Signatory/Karta of HUF		X
Second Signatory		X
Third Signatory		X
Other Holders		
Second Holder		X
Third Holder		X

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)	
☐ Any one singly	
☐ Jointly by	
☐ As per resolution	
☐ Others (please specify)	

Notes:

1. In case of additional signatures, separate annexures should be attached to the application form.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule

JK SECURITIES PRIVATE LIMITED

Opp. Peoples Bank Park Sardar Gunj, Anand – 388001
Phone No. – 02692-225040/41/37/36
Website : www.jksecurities.com Email: info@jksecurities.com
CIN – U27204GJ1995PTC025974 **DP ID - IN300636**

of the Const itutio

n of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.

3. 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.
   III. 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.
4. Strike off whichever is not applicable.

========== ========== ==========

Acknowledgement

Participant Name, Address & DP ID

Received the application from M/s_____ as the sole/first holder alongwith _____and _____as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

Date: | D | D | M | M | Y | Y | Y | Y |

Participant Stamp & Signature

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	

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	☐ Yes ☐ 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	☐ Physical ☐ Electronic
To Receive / Accept each and every credit and pledge instruction in my account	☐ Yes ☐ No
To Share Email id with Registrar & Transfer Agent (RTA) for receive Annual Report in Electronic Mode	☐ Yes ☐ No
Dividend /Interest to receive in bank account stated in KYC via ECS	☐ Yes ☐ No
To avail facility of internet Trading & Wireless Technology	☐ Yes ☐ No
To receive Delivery Instruction Slip with account opening	☐ Yes ☐ No
Account to be Operated through Power of Attorney	☐ Yes ☐ No
To opt for BSDA	☐ Yes ☐ No

M. INFORMATION FOR PREVIEW OF MONEY LAUNDERING ACT 2002 & OTHER DETAILS	
Experience	Number of years of investment/Trading Experience
Constituent Profile	☐ Manufacturing ☐ Service ☐ Trading ☐ Consultancy ☐ Other _____
Client Category	☐ FPOs/ Farmer ☐ Value Chain participant ☐ Foreign participant ☐ Domestic Financial Institutional Investor ☐ Other
Is the Client Politically Exposed Person (PEP) or Related to a PEP	☐ Yes ☐ 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 ✓	03 ✓	03 ✓
Signature of First/Sole Applicant/Guardian	Signature of Second Applicant	Signature of Third Applicant

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								
NCDEX Future								

	Intraday		Anyday	
	BUY	SELL	BUY	SELL
Index & Equity Option				
Currency Option				
MCX Option				
NCDEX Option				

SEBI Fees	Charged on Turnover	At the prevailing Rate applicable from time to time
Stamp Duty	Intra Day Transaction	
	Delivery Transaction	
Transaction Charges	Cash Market Turnover	
	Future Turnover	
	Option Premium Turnover	
Security Transaction Tax	Intra Day Sale Transaction - Cash Market	
	Delivery Transaction	
	Future and Option on sale Transaction (on seller)	
	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 Opp. People's Bank Park, Sardargunj Road, Anand 388 001 T : +91 2692225041/42/37			DP COPY W.E.F : 05/01/2026 Schedule 'A' Charges : (for Beneficial Owner)
Charge type	Account Opening/ Closing	Annual Maintenance Charge	
BSDA	NILL	NIL - Value of holding is up to ₹ 4,00,000	
		₹ 100 - Value of holding is from ₹ 4,00,000 - ₹ 10,00,000	
		More than ₹ 10 lakhs Regular AMC	
Non BSDA 10 Years Amc-Individual & HUF (Off line With E-Communication)	₹ 1,000		
Non BSDA 10 Years Amc-Individual (Online With E-Communication)	₹ 0		
Corporate Accounts	₹ 1,500		
Non BSDA 10 Years Amc-Only Nri Clients (Off line With E-Communication)	₹ 1,000		
Demat/ MF Conversion	₹ 300 Per Demat Request + ₹ 50 Postal Charges		
Remat Charge	₹ 30 per Remat Request + ₹ 50 Postal Charges + NSDL Charges.		
Market Transfer (Payable Upfront) Buy	NIL		
Sell market Transfer	JK Securities Private Limited.	BSDA	NSDL Charges
	₹ 18 per transaction for Non BSDA clients trading through JK Securities Private Limited.	₹ 18	(1) ₹ 4.00 (2) *0 settlement fees for Youth plan a/c (To be eligible to the first holder must be below the age of twenty four years at the time of opening, For period of three years from the dated of opening a new a/c.)
	₹ 30 per transaction or 0.04% of value of transaction, whichever is higher for Non BSDA client trading through other brokers	₹ 30	
Only NRI Clients	₹ 30 per transaction or 0.02% for Non BSDA clients trading through JK Securities Private Limited.	₹ 50 per transaction or 0.04% of value of transaction, whichever is higher for Non BSDA client trading through other brokers	
Off Market Transfer (Payable Upfront) Receipt	NIL		
Debit	₹ 18 per transaction or 0.02% for Non BSDA of the value of transaction whichever is higher if transferred within JK Securities Pvt. Ltd.	₹ 30 per transaction or 0.04% for Non BSDA of the value of transaction whichever is higher if transferred to other DP clients	
Only NRI Clients	₹ 30 per transaction or 0.02% for Non BSDA of the value of transaction whichever is higher if transferred within JK Securities Pvt. Ltd.	₹ 50 per transaction or 0.04% for Non BSDA of the value of transaction whichever is higher if transferred to other DP clients	
Inter Depositoty Transaction Charge	₹ 25 per transaction or 0.04% of the value of transaction whichever is higher (Payable up front)		
Pledge Creation Charge	₹ 100 per transaction or 0.01% of the value of transaction whichever is higher (Payable up front)		
Pledge Closure/ Invocation Charge	NIL	Cuspa Account Charges:- 29.66	

Speed-E Charges	₹ 750 per quarter
Speed-E A/c Freeze Charges	₹ 125 per freeze instruction
For Cash Segment	Pledge Create Charges ₹ 15 Pledge Release Charges ₹ 10
For F&O, CDS, MCX & NCDEX Segments	Pledge Create Charges ₹ 20 Pledge Release Charges ₹ 20

Slip Book Issuance (Payable Upfront)	Demat Rejection	Late Fee (Payable Upfront)
₹ 50 from second issuance	₹ 25 per Rejection.	₹ 50 per Instruction.
Physical Modification Charges (Payable Upfront)	**Statement Charges (Payable Upfront)**	**DDPI Charges ₹ 300**
₹ 50 per Account per Day	₹ 10 per request (Physical Copy)	NDU DP Charges ₹ 0

Note 1 :- 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.

Note 2 :- All applicable government taxes will be levied separately.

First Holder	Second Holder	Third Holder

Declaration of FEMA Regulation (Compliance for NRI)

From, **Date:-.....**

Name.....

Address.....
.....

To,
JK Securities Private Limited
Opp. Peoples Bank Park,
Sardargunj Road, Anand-388001

Dear Sir/Madam,

I/We are having an NRI Demat Account Number.....
with you in the name of.....
I/We declare that I/We have Complied and will continue to comply with FEMA Regulations.

First Holder	Second Holder	Third Holder

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 Sacretariat 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 monetory 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 Laundering' 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 anccestry 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 'The Prevention of Money Laundering Act, 2002' (PMLA) which came into effect w.e.f. 01.07.2005. A separate Foreign Intellegence 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

Mobile & Email ID Declaration

Date D D M M Y Y Y Y

DP ID :	Client ID :

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.		☐ Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parent I do not ☐ have mobile number For Non Individual :- ☐ Karta ☐ Co-Parceners - ☐ Partnership firm ☐ Authorized Partners - Trustees ☐ Authorized Person - ☐ Corporate ☐ Authorized Person
Email ID		☐ Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parent I do not ☐ have email ID For Non Individual :- ☐ Karta ☐ Co-Parceners - ☐ Partnership firm ☐ Authorized Partners - ☐ Trustees ☐ Authorized Person - ☐ Corporate ☐ Authorized Person

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

Signature of First Holder	13 ✓
Signature of Second Holder	09 ✓
Signature of Third Holder	09 ✓

I wish to receive e-Statement Yes No

MUTUAL FUND SERVICE SYSTEM FACILITY

VOLUNTARY

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 ofthe 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.Tenms 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 ofNSEILorNSCCL.

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 Iagree to abide by the same.

14 ✓

Signature of the Applicant

Date D D M M Y Y Y Y

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. People's 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:

a. I/We am/are aware that I / We will not receive the transaction statements in paper form.
b. I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
c. 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.
d. In case transaction statements are sent by email, I/We shall immediately inform the DP about change in email address, if any
e. 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.
f. 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,

15 ✓	10 ✓	10 ✓
Signature of First/Sole Applicant/Guardian	Signature of Second Applicant	Signature of Third Applicant

AUTHORIZATION LETTER
FOR ELECTRONIC COMMUNICATION (TRADING)

VOLUNTARY

Date | D | D | M | M | Y | Y | Y | Y |

Name : _____

Address : _____

_____

Client ID : | | | | | | | | |

To,
M/S JK Securities Private Limited
Opp. People's Bank Park, Sardargunj Rd., Anand

Dear Sir,

Sub. : Mandate to issue contracts in electronic/digital format

I hereby opt for receipt of contract notes in electronic/digital format as well as all other communications including but not limited to account statement, holding statement, trade order confirmations and any other notices also in electronically.

For the above purpose please take my following e-mail ID on your record for sending the contract notes and other communication to me.

E-mail ID : _____

I agree that non receipt of bounced mail notification by you shall amount to delivery at my email ID. I 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 direction given above.

I hereby accept to the terms and conditions as mentioned herein below

1. The digital contract notes will be issued in digital form in compliance with the guidelines issued by SEBI/ Exchange from time to time
2. Digital contract notes will be mailed to e-mail address provided to us in the format as may be prescribed by the exchange from time to time.
3. Digital contract notes will also be available at URL www.jksecurities.com
4. Client can view the digital contract notes on URL by using the user name & password
5. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form which shall be binding on the client.

I hereby undertake to check the contract notes and bring discrepancies to your notice preferably within 24 hours of receipt of such contract notes. My non verification or not accessing the contract notes on regular basis shall not be the reason for disputing the contract notes any time.

Thank you

Yours faithfully

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Signature of the Applicant

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 JK Securities Pvt. Ltd 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, JK Securities Pvt. Ltd under exceptional circumstances may execute cliental order. JK Securities Pvt. Ltd 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, ZP, T, IP, TS, XT, Y, B group and/or securities listed in BE, IL, BT or EQ series on NSE, BSE, • 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 ledger, securities margin pledged 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 Broker's/Member's 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 Broker's/Member's risk perception and other factors considered relevant by the Stock Broker /Member including but not limited to client's trade history / experience, if available, client's 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 Broker's/Member's 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 client's 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 o 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 JKSPL. • The brokerage charged to the clients will not be more than the maximum brokerage permissible as per therules, 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 be to sent in writing to branch who in turn will forward the request to the Head Officce 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% (maximum) 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 margin pledged with JK Securities Pvt. Ltd 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 by JK Securities Pvt. Ltd

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 and within the extant regulatory provision . 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 as per the valuation amount (i.e. settlement price in case of successful auction and auction/close out rate in case of auction not successful) debited by CC .. 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 as mentioned in the circular issued by the exchanges. During the period the client account is suspended, the market transaction in the client account will be prohibited. However,JK Securities Pvt. Ltd. shall 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 30 days to 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.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 covenent or warranty of the client is incorrect or untrue in any material respect;

11. Treatment of inactive accounts

In case of any trade or transactions as mentioned in exchage's circular no. NSE/INSP/64718, BSE-20241025-25 ,MCX- MCX/INSP/716/2024 & NCDEX –NCDEX/COMPLIANCE-82/2024 of October 25 & 28, 2024 - are not executed by client for a continuous period of two years (24 moths) the account will be considered to be 'Inactive Account'. Such Inactive Account can be reactivated for trading on receipt of re-activation form/on line request from the client along with necessary kyc documents. Upon receipt of physical reactivation request employee of our company shall carry out 'In-Person'Verification of the Client .Additionally our employee will check kyc status & seek confirmation from the client of change in basic details such as Address, Mobile number, Email ID,

Bank/DP account, income etc. and do necessary process In case if updation in said details Or kyc validation require.

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/ courior/ 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/ courior 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 compulsorily 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

Undertaking/Authorisation

VOLUNTARY

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

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

In case JKSPL perceives that I am acting as an unregistered sub broker, JKSPL 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 JKSPL without the requirement of any notice from JKSPL. Further, JKSPL has the right to inform the concerned regulatory authorities about the same.

In aforesaid eventuality, I agree and undertake to indemnify JKSPL 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 JKSPL, 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 JKSPL on its own comes to know of such action, JKSPL has the right to suspend/close my trading account and refuse to deal with me.

Also, JKSPL 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 JKSPL 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 JKSPL, 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 JKSPL 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.

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 JKSPL.

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Applicant's Signature

Applicant's Name

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 ✓

VOLUNTARY Date

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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 'margin pledge'. 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

1/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

Internet & Wireless Technology Based Trading Facility Provided by Stock Brokers/Members to Clients

VOLUNTARY

(All the clauses mentioned in the 'Rights And Obligations' 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 Broker's IBT Service to the Client, and the Client shall avail of the Stock broker's/Member's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock Broker's/Member's 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 Broker's/Member's 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 Broker's/Member's IBT System using the Client's 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 Broker's 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 Client's 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 Broker's/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 broker's IBT System or Service or the Exchange's 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

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 ENTTRY BY				
NDML VARIFICATION 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 :** _____

VOLUNTARY DOCUMENT

JK Securities
SYMBOL OF TRUST

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**

JK Securities
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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 JKSPL's Demat Account(s)					
1	Jk Securities Private Limited	IN300636-10000908	IN554044	JKSPL	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	JKSPL	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 JKSPL's Demat Account(s)					
8	Jk Securities Private Limited	IN300636-40131273	-	JKSPL	Client Securities Margin Pledge Account
9	Jk Securities Private Limited	IN300636-40132258	-	JKSPL	Client Securities Margin Pledge Account
10	Jk Securities Private Limited	IN300636-40141134	-	JKSPL	TM-Client Securities under Margin Funding Account
11	Jk Securities Private Limited	IN300636-40141564	-	JKSPL	TM/CM-Client Securities Margin Pledge Account

For Office Use Only		
Received By	**Entered By**	**Authorised By**
Sign :	Sign :	Sign :
Date : _____/_____/_____	Date : _____/_____/_____	Date : _____/_____/_____

JK Securities
SYMBOL OF TRUST

JK Securities Private Limited

(Opp.People's Bank Park, Sardar Gunj Road, Anand 388001,
website : www.jksecurities.com Ph : +912692/225036/37)
Reg.No. : NSE CASH - INB230823938, NSE F&O INF230823938, NSE CDS - INE230823938, MCX_SX Cash - INB260823936, MCX SX F&O - INF260823936, BSE - 6608

FATCA / CRS DECLARATION FOR NON-INDIVIDUAL ACCOUNTS

Note – The information in this section is being collected because of enhancements to Jk Securities Pvt. Ltd's new account on-boarding procedures in order to fully comply with Foreign Account Tax Compliance Act (FATCA) requirements and the Common Reporting Standards (CRS) requirements.

For more information refer:

http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCAhttp://www.oecd.org/ctp/exchange-of-tax-information/automatic-exchange-financial-account-information-common-reporting-standard.pdf

FATCA / CRS declaration and details for entities
(We are unable to provide advice about your FATCA classification or interpretation of any terms. Please therefore seek advice from a tax professional on any FATCA aspects)

Part A – Preliminary details (All fields mandatory)

Sr No	***Particulars***	***Details of Applicant***	
1	**Trading code** **Client ID(To be provided only if demat account is with KSL):**		
2	**Name of the Entity**		
3	**Address for Tax Residence (including city, state, country and pin code)**		
4	**Address Type (Business or registered office)**		
5	**Entity Constitution Type.** *(Refer Instruction 6 in annexure)*		
6	**Do you satisfy any of the criteria mentioned below?**		
	a. Is the entity a U.S. person (Please refer *'other definitions'* in the instructions) b. Is the entity a Specified US Person	Yes ☐ *(Please answer b)* Yes ☐	No ☐ (Please go to c) No ☐ Entity's exemption code: _____ (*Refer instruction 5 in annexure*)
	c. Is the entity formed/incorporated outside India	Yes ☐ No ☐	*<<If yes, please specify city and country of incorporation / formation>>*

✓

With Stamp & Signature

59	d. Is the entity having Tax Residency in any country (ies) other than India	Yes ☐ No ☐	*<< If yes, please provide the following details>>* **Country of Tax residency** | **Tax Identification No. / Functional equivalent of the foreign country** | **Identification Type #** [ ] | [ ] | [ ] [ ] | [ ] | [ ] [ ] | [ ] | [ ] *#In case Tax Identification Number is not available, kindly provide functional equivalent or Company Identification Number or Global Entity Identification Number*
7	Is the entity a Financial Institution (FI) {including an Foreign Financial Institution} (refer instruction 1 in annexure) Or A Direct Reporting NFFE *(Refer 'other definitions' in Annexure)*	Yes ☐ (Please fill Part B) No ☐ (Go to next question)	
8	Is the entity a publicly traded corporation / a related entity of a publicly traded corporation / Active NFFE *(For clarification, refer instruction 3 in Annexure)*	Yes ☐ (Please fill Part C) No ☐ (Please fill Part D) **Note: Part D needs to be filled for all accounts opened, irrespective of answer to this section.**	

Part B* – If your answer to question 7 in Part A is a YES, please provide *details in relation to Financial Institutions / Foreign Financial Institutions or Direct Reporting NFFEs

Particulars	***Details of applicant***
The entity is: **1) Financial Institution** ☐ **2) Direct Reporting NFFE** ☐	**Global Intermediary Identification Number (GIIN)** _____ *Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN and name below:* Name of sponsoring entity: _____ *(For clarification, refer 'Other Definitions' in the Annexure)* Sponsoring Entity's GIIN: _____ *(If GIIN provided, please go directly to the declaration and acknowledgment)*
If GIIN not available [tick any one]: **(Not applicable to Direct Reporting NFFE)**	a. **Not obtained:** ☐ **b. Applied for** ☐ [_____] [insert application date] **c. GIIN not required** ☐ ***Please specify reasons:*** _____ ***Please insert code:*** _____ *(Mention Code – For clarification , refer instruction 2 in annexure)* *(Please go to Declaration and Acknowledgment)*

Part C – If your answer to question 8 in Part A is a YES, please provide following details:

Sr No	***Particulars***	***Details of applicant***

✓

With Stamp & Signature

1 60	**a. Are you a publicly traded company?** *(Refer 'Instruction 3' in the annexure)*	Yes ☐ *[Please fill C1(b)]*	No ☐ *(Please fill C2)*
	b. Are your shares regularly traded on a recognized stock exchange	Yes ☐	No ☐ *(Please fill C2)*
		If yes, please provide name of the stock exchange where the shares are regularly traded: **1. _____** **2. _____** *(Please go to Declaration and Acknowledgment)*	
2	**Are you a *related entity*# of a listed company mentioned in Part C (1) above** # *Related entity – An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control*	Yes ☐ Nature of relation with the related entity: ☐ Subsidiary of the listed company. ☐ Controlled by a listed company	No ☐ *(Please fill C3)*
		If yes, please provide name of the related entity that is listed : _____ **Name of the stock exchange where the shares of the related listed entity are regularly traded:** **1. _____** *(Please go to Declaration and Acknowledgement)*	
3	Entity is an Active NFFE	Please specify nature of business _____ Category:____ (*Refer codes in Instruction 3)* *(Provide UBO details in Part D and go to Declaration and Acknowledgment)*	

✓

With Stamp & Signature

Part D– If your answer to question 8 in Part A is a NO, please provide following details:

Entity is a Passive NFFE : ☐ Entity is Active NFFE: ☐

(other than Direct reporting NFFE)

Please specify nature of business: _____

✓

With Stamp & Signature

Provide details of all UBO/s or Controlling person/s, [natural persons as per PMLA] (including Owner Documented FFI's*[For clarification, refer 'Other Definitions' in the Annexure]***) in the table below**

Are you an Owner-documented FFI's - Yes ☐ ***No*** ☐

If 'Yes', <u>in addition to the below details</u> , please provide a duly filled form W8BEN E along with FFI Owner Reporting Statement and Auditor's Letter.
If 'No', Please provide below details only.

Name of UBO	**Date of Birth**	**Gender**	**Country of Tax residency**	**Nationality**	**Residence address for tax purposes**	**Fathers name *(If PAN not available)***	**Tax identification number or equivalent & Tax identification / functional equivalent document**	**Identification document : Passport/ PAN etc**	**City and Country of Birth**	**UBO Code** *(For clarification, refer Instruction 7 in the Annexure)*

Note: In case of a multiple intermediaries, please provide the shareholding / controlling structure of each such intermediary / ies.

A. If any of the UBO is a resident / citizen of 'other than India' or citizen / tax resident / green card holder of country, please provide Taxpayer ID number or equivalent / Social Security Number [SSN]
B. Submit documentary proof like shareholding pattern duly self-attested by Authorized Signatory / Company Secretary
C. If number of UBOs are greater than 4 or the space required is insufficient, information in the given format can be given in additional sheets
Please also fill the Beneficial Owner Form for the UBOs

Declaration & Acknowledgement	I _____ being the beneficial owner of the account opened / to be opened with **Jk Securities Pvt. Ltd** and the income credited therein declare that the above information and information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed I acknowledge that towards compliance with tax information sharing laws, such as FATCA / CRS, KSL may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if KSL does not receive a valid self-certification from me) the KSL may be obliged to share information on my account with relevant tax authorities. Should there be any **change in any information provided by me, I ensure that I will advise KSL** promptly, **i.e., within 30 days**. Towards compliance with such laws, KSL 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, KSL may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s).		
Customer / Authorized person Signature & Designation			
Date			

Office use section

	Signature Verified
Name of the Employee	
Employee Code	
Designation of the employee	
Date	
Place of Verification	

Name & Signature of the Authorised Signatory

_____

Form Type Submitted – W-8 BENE ☐

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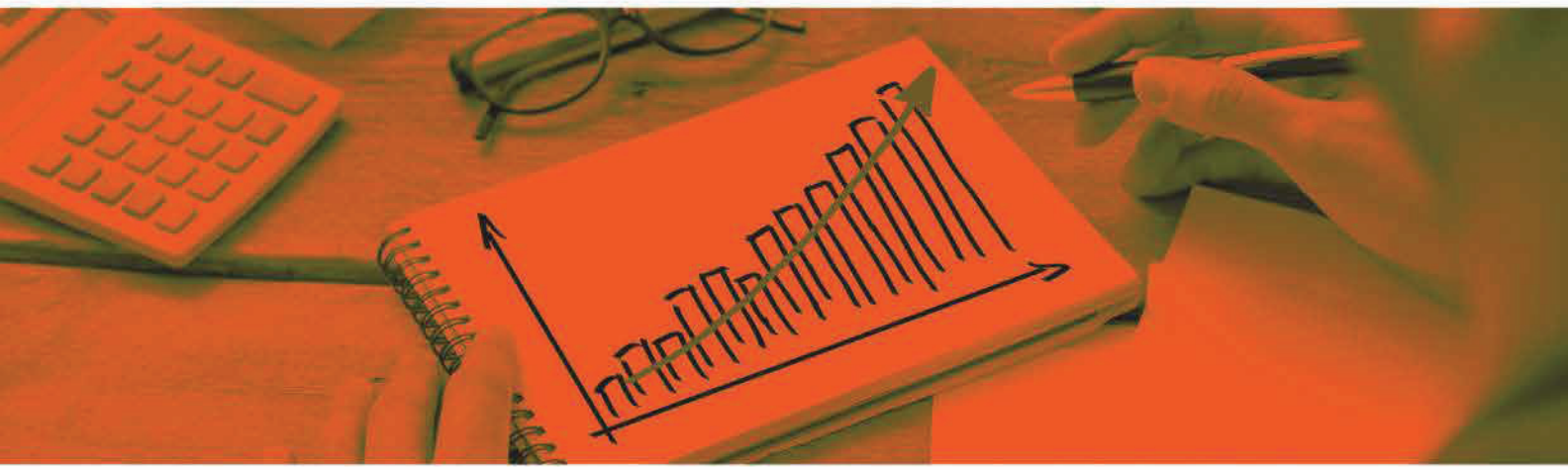
✓

With Stamp & Signature

JK Securities

SYMBOL OF TRUST



OUR PRESENCE

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