

Application No.	V
UCC	
DP Client No.	
Reference No.	
Partner	
Partner Center	
First Holder Name	
Second Holder Name	
Third Holder Name	



TRADING & DEMAT ACCOUNT OPENING  
FORM AND POWER OF ATTORNEY

INDIVIDUAL



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## DETAILS OF THE DEPOSITORY PARTICIPANT AND STOCK BROKER

### NJ INDIA INVEST PRIVATE LIMITED

Registered & Correspondence Office Address : Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat Phone: 0261 402 5500 Fax: 0261 402 5880  
SEBI Reg No - BSE, NSE & ICEX: INZ000213137, SEBI Reg No - CDSL & NSDL: IN-DP-14-2015  
Email id: dpservices@njgroup.in Website: www.njgroup.in

Compliance officer name : Rakesh P Tokarkar  
Phone no. : 0261- 4025901  
E-mail id. : compliance@njgroup.in

CEO name : Mr. Niraj R. Choksi  
Phone no. : 0261- 4025901  
E-mail id. : ceo@njgroup.in

For any grievance/dispute please contact NJ IndiaInvest Private Limited at Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat or email id - dpservices@njgroup.in and Phone no.: 0261-4025500.

In case not satisfied with the response, please contact the concerned exchange(s)  
BSE at is@bseindia.com and Phone no. : 022- 22728097  
NSE at ignse@nse.co.in and Phone no.: 022-26598190.



# ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT

Application No.

**V**

## NJ INDIA INVEST PRIVATE LIMITED

Registered & Correspondence Office Address : Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh  
Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat Phone: 0261 402 5500 Fax: 0261 402 5880

This information is the sole property of the trading member/DP/brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients.

(To be filled by DP)

Date:                                                  

DP Internal Reference No. \_\_\_\_\_

DP ID \_\_\_\_\_

Client ID \_\_\_\_\_

 CDSL NSDL

(To be filled by the applicant in BLOCK LETTERS &amp; with BLACK BALL POINT PEN in English )

I/We request you to open a Demat Account in my/our name as per the following details:

### Type of Account (Please tick whichever is applicable)

Status	Sub-Status	
Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director
	<input type="checkbox"/> Individual Director's Relative	<input type="checkbox"/> Individual AOP
	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Others(specify) _____
NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI - Non Repatriable
	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable Promoter
	<input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> Others (specify) _____
Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Qualified Foreign Investor
	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify) _____

### Holders Details

Sole / First Holder's Name \_\_\_\_\_

PAN \_\_\_\_\_

UID \_\_\_\_\_

Second Holder's Name \_\_\_\_\_

PAN \_\_\_\_\_

UID \_\_\_\_\_

Third Holder's Name \_\_\_\_\_

PAN \_\_\_\_\_

UID \_\_\_\_\_

### In case of NRIs/ Foreign Nationals

RBI Approval Reference Number \_\_\_\_\_

RBI Approval date \_\_\_\_\_

### Details of Guardian (in case the account holder is minor)

Name of the Guardian: \_\_\_\_\_

Relationship with the applicant: \_\_\_\_\_

PAN: \_\_\_\_\_

Name\* \_\_\_\_\_

PAN: \_\_\_\_\_

\*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, LLP, etc., although the account is opened in the name of the natural persons, the name of the Firm, Associations of Persons (AOP), Partnership Firm, Unregistered Trusts, LLP, etc., should be mentioned above.



## ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT

### Additional Details

I/We instruct the DP to receive each and every credit in my/our account [Automatic Credit] (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly																				
I/We request you to send Electronic Transaction - cum - Holding Statement at the Email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
I/ We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Physical & Electronic																				
I/We wish to receive dividend/ interest directly into my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time ]	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
SMS Alert Facility (CDSL)      Mobile No. +91 _____ <small>(Refer terms &amp; conditions in the booklet provided)</small> [(Mandatory , if you are giving Power of Attorney (POA)](if POA is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
SMS Alert Facility(NSDL): [Mandatory if you are giving Power of Attorney(PoA).																					
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">Sr. No.</th> <th style="width: 20%;">Holder</th> <th style="width: 10%;">Yes</th> <th style="width: 10%;">No</th> <th style="width: 50%;">Mobile No.</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td>Sole/First Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td>+91 _____</td> </tr> <tr> <td style="text-align: center;">2</td> <td>Second Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td>+91 _____</td> </tr> <tr> <td style="text-align: center;">3</td> <td>Third Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td>+91 _____</td> </tr> </tbody> </table>	Sr. No.	Holder	Yes	No	Mobile No.	1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____	2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____	3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____	
Sr. No.	Holder	Yes	No	Mobile No.																	
1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____																	
2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____																	
3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	+91 _____																	
Transactions Using Secured Texting Facility (TRUST). <small>(Refer terms &amp; conditions in the booklet provided)</small> I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.  Stock Exchange Name/ID _____ Clearing Member Name _____ Clearing Member ID (Optional) _____	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
<b>easi</b> If yes, please contact your DP for details [Facility through CDSL's website: <a href="http://www.cdslindia.com">www.cdslindia.com</a> wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	<input type="checkbox"/> Yes <input type="checkbox"/> No																				
<b>IdeAS</b> If yes, please contact your DP for details [Facility through NSDL's website: <a href="https://eservices.nsdli.com/">https://eservices.nsdli.com/</a> wherein a BO can view his ISIN balances and value of their demat account online.]	<input type="checkbox"/> Yes <input type="checkbox"/> No																				

## ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

I/We request you to open a Trading Account in my/our name as per the following details:

### Depository Account Details

Beneficiary Name \_\_\_\_\_  
 DP Name  N J I n d i a I n v e s t P r i v a t e L i m i t e d  
 DP Address  B l o c k N o 9 0 1 & 9 0 2 6 t h F l o o r B T o w e r U d h n a  
 U d y o g n a g a r S a n g h C o m m e r c i a l C o m p l e x  
 C e n t r a l R o a d N o 1 0 U d h n a S u r a t - 3 9 4 2 1 0  
 DP ID \_\_\_\_\_ Client ID \_\_\_\_\_ Depository Name \_\_\_\_\_

### Trading Preferences

(Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the Client)

BSE Segment	Signature	NSE Segment	Signature	ICEX Segment	Signature
Cash	1(a)/17	Cash	2(a)/17	Cash	N/A <sup>3(a)/17</sup>
F&O	N/A <sup>1(b)/17</sup>	F&O	N/A <sup>2(b)/17</sup>	F&O	N/A <sup>3(b)/17</sup>
STAR MF	1(c)/17	MFSS	2(c)/17	ICEX MF	3(c)/17
Currency Derivative	N/A <sup>1(d)/17</sup>	Currency Derivative	N/A <sup>2(d)/17</sup>	Currency Derivative	N/A <sup>3(d)/17</sup>

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

### Past Actions

Please give the details of any action taken by SEBI/Stock Exchange/ any other authority for violation of Securities Laws/ other economic offences specifically indicating any action taken during the previous 3 years.

### Dealings through Sub-brokers and other Stock Brokers

Whether dealing through the sub-broker, provide the following details:

Sub-broker's Name: \_\_\_\_\_  
 SEBI Registration number: \_\_\_\_\_  
 Registered office address: \_\_\_\_\_  
 \_\_\_\_\_  
 Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Website: \_\_\_\_\_

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

If Yes, Stock Broker's Name: \_\_\_\_\_  
 Client Code: \_\_\_\_\_ Name of the Exchange: \_\_\_\_\_  
 Details of disputes/dues pending from/to such stock broker/sub- broker: \_\_\_\_\_



## ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

### Additional Details

I wish to receive  Physical Contract note  Electronic Contract Note (ECN) (please specify):

Specify your Email id, if applicable: \_\_\_\_\_

Whether you wish to avail the facility of  Internet trading  Wireless technology (please specify):

### Investment/ Trading Experience

No Prior Experience

Years in Equity

Years in Derivatives

Years in Other Investment Products

### Introducer's Details

#### Introducer 1 (For Mutual Fund)

Name: \_\_\_\_\_

Status:  Sub-broker  Remisier  Authorized Person  Existing Client

Others, please specify \_\_\_\_\_

Address: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Introducer's Code: \_\_\_\_\_

Introducer's PAN: \_\_\_\_\_

Introducer  
Signature

#### Introducer 2 (For Capital Market)

Name: \_\_\_\_\_

Status:  Sub-broker  Remisier  Authorized Person  Existing Client

Others, please specify \_\_\_\_\_

Address: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Introducer's Code: \_\_\_\_\_

Introducer's PAN: \_\_\_\_\_

Introducer  
Signature

### FOR OFFICE USE ONLY

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

**Member's  
Authorized  
Signatory**

Signed by: \_\_\_\_\_

Date:  D D M M Y Y Y Y

**Seal/Stamp of  
stock broker**





## ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

### Multiple Bank Accounts

To \_\_\_\_\_ UCC: \_\_\_\_\_  
NJ INDIAINVEST PRIVATE LIMITED,  
Block No.901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna,  
Surat - 394210, Gujarat.

I request you to make the following additions to my Trading account in your records.

For each bank account, investors should produce originals for verification or submit originals of the documents mentioned below.

### Bank Details

1. Name of the Bank _____	
Account No _____	IFSC Code: _____
Bank Address _____	
_____	City: _____
State: _____	Pin/Zip Code: _____
Country: _____	
MICR Code _____	Account Type: <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Other _____
Document attached (Any one): <input type="checkbox"/> Cancelled Cheque with name pre-printed <input type="checkbox"/> Bank statement	
<input type="checkbox"/> Pass book <input type="checkbox"/> Bank Letter	

2. Name of the Bank _____	
Account No _____	IFSC Code: _____
Bank Address _____	
_____	City: _____
State: _____	Pin/Zip Code: _____
Country: _____	
MICR Code _____	Account Type: <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Other _____
Document attached (Any one): <input type="checkbox"/> Cancelled Cheque with name pre-printed <input type="checkbox"/> Bank statement	
<input type="checkbox"/> Pass book <input type="checkbox"/> Bank Letter	

Bank Proof (Any one Proof Required from the following list (Self attested)):

- 1) Copy of cancelled cheque Leaf with name of the accountholder preprinted on it
- 2) Bank passbook having name and address of the account holder and latest transaction pages being not more than 3 months old.
- 3) Bank Statement having name and address of the accountholder being not more than 3 months old
- 4) Letter from the bank certifying the account number and period from which the account is in operation. The bank branch and designation and name of the bank official should be clear. Also enclosed copy of cheque.

Name: \_\_\_\_\_

x	04/17
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Sole/First Holder OR Guardian (In case of Minor)



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# COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

## NOMINATION FORM

To  
 NJ INDIAINVEST PRIVATE LIMITED,  
 Block No.901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna,  
 Surat - 394210, Gujarat.

Dear Sir/ Madam,

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- I/We do not wish to nominate any one for this trading & demat account.  
 [Strike out whatever is not applicable.] [Signatures of all the account holders should be obtained on this form].
- I/We nominate the following person, who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole Holder or the death of all the Joint Holders.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:			
Middle Name:			
*Last Name			
*Address:			
*City:			
*State:			
*Pin:			
*Country:			
Telephone/ Mobile No:			
Fax No:			
*ID Type:			
*ID No.:			
Email ID:			
*Relationship with the BO:			
Date of birth (mandatory if Nominee is a minor):			
Guardian Name:			
*First Name:			
Middle Name:			
*Last Name:			
*Address of Guardian:			
*City:			
*State:			
*Country:			
*Pin:			
Age			
Telephone/Mobile No.:			





## COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

**Notes:**

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

.....(Please Tear Here).....

### Acknowledgment Receipt

Received nomination from :

**DP ID**

**Client ID**

Name			
Address			
Nomination in favor of First-Nominee			
Second- Nominee			
Third - Nominee			
No Nomination	<input type="checkbox"/> Does not wish to nominate		
Registration No.		Registered on	Date <small>D D M M Y Y Y Y</small>

**Depository Participants Seal & Signature**



# COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

## To be filled by Branch

Employee Name \_\_\_\_\_

Date:   D  D  M  M  Y  Y  Y  Y  

Branch \_\_\_\_\_

Signature of  
the Employee

x
---

## For Processing Office Only

Audited by \_\_\_\_\_

UCC \_\_\_\_\_

Storage File No. \_\_\_\_\_

Date:   D  D  M  M  Y  Y  Y  Y  

(Originals verified) True copies of documents received

(Attested) True copies of documents received

**Member's  
Authorized  
Signatory**

x
---

**Seal/Stamp of  
stock broker**

.....(Please Tear Here).....

## ACKNOWLEDGEMENT RECEIPT

Application No.

**V**

Date: \_\_\_\_\_

We hereby acknowledge the receipt of the Trading and Demat Account Opening Form.

Name of First/Sole Holder	
Name of Second Holder	
Name of Third Holder	

For, **NJ India Invest Private Limited** \_\_\_\_\_



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**MANDATORY & NON-MANDATORY DOCUMENT AND  
DECLARATION FOR OPENING TRADING AND DEMAT ACCOUNT**

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From  
First Holder Name \_\_\_\_\_  
Second Holder Name \_\_\_\_\_  
Third Holder Name \_\_\_\_\_  
DP ID \_\_\_\_\_ Client ID \_\_\_\_\_

To  
NJ INDIAINVEST PRIVATE LIMITED,  
Block No.901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex,  
Central Road No. 10, Udhna, Surat - 394210, Gujarat.

**Dear Sir,**

1. I/We hereby opt to receive the below listed documents in  Physical Form  Electronic Form
2. I/We am/are desirous of opening the trading and demat account with NJ India Invest Private Limited in the process of executing client registration documents relating to the opening of trading and demat account.
3. I/We have furnished all the details required in the Account opening form as per SEBI/Exchange/DP requirements. I/We confirm having read/been explained & understood the contents of the Mandatory and Non- Mandatory documents which are provided to me/us. I/We agree that the Mandatory and Non-Mandatory document contains following:

a)	Instructions for Demat Account	(Page No. 1)
b)	Instructions for Trading Account	(Page No. 2)
c)	Details & Checklist for Trading and Demat Account	(Page No. 3)
d)	Rights and Obligations of the parties (including additional rights and obligations in case of internet and wireless technology based trading) prescribed by SEBI and Stock exchanges.	(Page No. 7)
e)	Internet & Wireless Technology based Trading facility provided by Stock Brokers to Clients	(Page No. 11)
f)	Uniform Risk Disclosure Documents (RDD) prescribed by SEBI and Stock exchanges detailing risk associated with dealing in the securities market	(Page No. 12)
g)	Guidance note detailing Do's and Don'ts for trading on Stock exchanges, for the education of the investors	(Page No. 16)
h)	Policies and Procedures - Document describing significant policies and procedures of the Stock Broker	(Page No. 18)
i)	Information on Anti Money Laundering for educating Clients	(Page No. 20)
j)	Voluntary Clauses – Enabling clauses to provide services customized to suit Client's needs and improve service delivery	(Page No. 22)
k)	Terms and Conditions for receiving SMS Alert from CDSL	(Page No. 27)
l)	Terms and Conditions for receiving SMS Alert from NSDL	(Page No. 30)
m)	Terms and Conditions for availing Transaction using Secured Texting (TRUST) service offered by CDSL	(Page No. 33)
n)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	(Page No. 35)
o)	Mandatory and Non-Mandatory Document Booklet and Declaration	(Page No. 38)

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**MANDATORY & NON-MANDATORY DOCUMENT AND  
DECLARATION FOR OPENING TRADING AND DEMAT ACCOUNT**

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4. I/We understand and agree that any amendment/modifications as required by the exchanges/DP and/or regulators will be applicable to me/us at all point of time and I/We understand that these changes will be intimated to me/us.
5. I/We understand that the Mandatory and Non-Mandatory document is in accordance of the exchanges and/or SEBI/DP requirements applicable for opening Trading and Demat Account.
6. 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 agree and undertake to inform you of any change(s) therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
7. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and tariff sheet.
8. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on the stock broker's designated website, if any.
9. I/We have received and read the copy of Rights and Obligations of the Beneficial Owner and Depository Participant and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time.
10. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

Place: \_\_\_\_\_

Date:   D  D  M  M  Y  Y  Y  Y  

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

x		06/17
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x		02/05
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x		02/05
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Sole/First Holder OR Guardian (In case of Minor)

Second Holder

Third Holder



# TARIFF SHEET

## Mutual Fund

Transaction type / Scheme type	Purchase/ Switch	Redemption	SIP
Equity/Balance			
Debt			
Cash			
Others			

**Note:**

1. The above rates would be charged/collected from the client at the time of transaction.
2. Brokerage rate mentioned would be considered in percentage terms.
3. The rates would be inclusive of GST
4. NJ India Invest Private Limited reserves the right to deduct the brokerage from future transactions, in case of any pending dues.
5. Brokerage structure for "Others" include all schemes not covered under Equity, Debt & Cash.

Name of the Client: \_\_\_\_\_  
\_\_\_\_\_

Client  
Signature

x	07/17
---	-------

Introducer's Name: \_\_\_\_\_  
\_\_\_\_\_

Introducer  
Signature

x
---

Introducer's Code: \_\_\_\_\_



# TARIFF SHEET

## Capital Market

Market Segment	Brokerage Rate Structure
Direct Equity	<input type="checkbox"/> 0.50% or Rs 20/- on executed order whichever is lower <b>OR</b> <input type="checkbox"/> _____% (MIN. 0.10% - MAX. 2.5%)
Debt	<input type="checkbox"/> 0.50% or Rs 20/- on executed order whichever is lower <b>OR</b> <input type="checkbox"/> _____% (MIN. 0.10% - MAX. 2.5%)
Liquid	0.05% or Rs 20/- on executed order whichever is lower

Note:

1. In case of customized rate, Max Rate applicable is 2.5% and Minimum Rate applicable is 0.10%
2. GST on Brokerage will be charged as applicable.
3. Securities Transaction Tax (STT) applicable as per delivery & non delivery on turnover.
4. Stamp Duty Applicable State wise as per delivery and non-delivery will be levied on turnover.
5. SEBI Turnover Tax may be applicable in future.
6. Exchange Transaction Charges will be applicable in future as defined by respective exchange.

Name of the Client: \_\_\_\_\_  
 \_\_\_\_\_

Client Signature x 08/17

Authorised Person's Name: \_\_\_\_\_  
 \_\_\_\_\_

Authorised Person Signature x

Authorised Person's Code: \_\_\_\_\_



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# ANNEXURE A

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## BSE STAR MF (Letter to be provided by the investor to the MFI)

Date:     D D M M Y Y Y Y    

To

NJ India Invest Private Limited

Sir,

Sub: BSE STAR MF

I/We, \_\_\_\_\_

am/are registered as your client with Client Code No. \_\_\_\_\_ for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE STAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the circular dated December 2, 2009 and as may be specified by the exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in BSE STAR MF.

**Thanking you,**

**Yours faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x	09/17
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# ANNEXURE A

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## Details of terms & conditions for the investor / client for using BSE STAR MF platform

### 1. Pre-requisites for becoming an investor / a client for the BSE STAR MF platform

1.1 The client, who is desirous of investing in units of mutual fund schemes through the BSE STAR MF.

1.2 The client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the BSE STAR MF platform.

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

1.4 The client has approached the MFI with the application for availing the BSE STAR MF platform.

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

### 2. Terms and Conditions

2.1 The client shall be bound by circulars issued by BSE's rules, regulations and notices/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 MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the BSE STAR MF platform or at any time thereafter.

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

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 the BSE, SEBI and AMFI.

2.7 The client shall pay to the MFI 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 MFI renders to the client.

2.8 The client will furnish information to the MFI 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 MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL).

2.10 In case of any dispute between the MFIs and the investors arising out of the BSE STAR MF platform, BSE and / or ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

**Thanking you,**

**Yours faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x	10/17
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## ANNEXURE B

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### MUTUAL FUND SERVICE SYSTEM FACILITY (Letter to be provided by the investor to the participant)

Date:     D  D  M  M  Y  Y  Y  Y    

To

NJ India Invest Private Limited

Sir,

Sub: Mutual Fund Service System (MFSS) facility

I/We, \_\_\_\_\_

are desirous of being registered as your client for the purpose of participating in the MFSS.

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with, on the MFSS of the Exchange.

I/We am/are willing to abide by the operating guidelines and terms and conditions as may be specified by the Exchange from time to time in this regard including the terms and conditions specified by the Exchange with respect to MFSS since 2009. I/We shall also comply with all the Know Your Client (KYC) and Anti Money Laundering (AML) requirements, as may be specified by the Exchange.

I/We shall also ensure compliance with the requirements, as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS.

**Thanking you,**

**Yours faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x	11/17
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# ANNEXURE B

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## Details of terms & conditions for the investor / client for using new MFSS facility

### 1. Pre-requisites for becoming investor / client for the new MFSS facility

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

1.2. The client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the participant of the new MFSS.

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

1.4. The client has approached the participant with the application for availing the new MFSS facility.

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

### 2. Terms and Conditions

2.1. The client shall be bound by circulars issued by NSEIL from time to time including the circulars issued by NSEIL 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 an order with the participant.

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

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

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

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

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

2.9. In the event of non-performance of the obligation by the participant, the client is not entitled to claim any compensation either from the investor protection fund or from any fund of NSEIL or NSCCL.

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

**Thanking you,**

**Yours faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x	12/17
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## APPENDIX-I

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### ICEX-MF (Letter to be provided by the Investor to the MFI)

Date:     D    D    M    M    Y    Y    Y    Y    

To

NJ India Invest Private Limited

Sir,

Sub: ICEX MF

I/We, \_\_\_\_\_

am/are registered as your client with Client Code No. \_\_\_\_\_. I/We am/are interested in availing the facility of the Exchange for the purpose of transacting in the units of Mutual Funds Schemes permitted to be dealt with on the ICEX-MF.

For the purpose of availing this facility, I/we state that Know Your Client details, as already submitted by me/us for my/our registration as a client may be considered for the purpose of ICEX-MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We undertake to abide by the terms and conditions as mentioned in the Circular dated 24th Dec, 2019 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI) or by any other regulatory authority as may be applicable to transaction in Mutual Fund units.

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We also undertake to abide by Bye-Laws/Rules/Regulations of ICEX as applicable to registered clients under the member of ICEX.

I/we therefore request you to register me/us as your client and allow me/us for participating in ICEX MF.

**Thanking you,**

**Yours faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x	13/17
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# VOLUNTARY DECLARATION

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## AUTHORIZATION FOR MAINTENANCE OF RUNNING ACCOUNT (NSE/BSE)

Date:     D  D  M  M  Y  Y  Y  Y    

I/We have been/shall be dealing through you as my/our broker on the Capital Market. As my/our broker i.e. agent I/we direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I am/we are aware that you and I/we have the option to deliver securities/make payments of funds to each other for settlement of dealings as per the schedule in force, at the relevant time pursuant to directives/regulations/circulars, issued by exchange/regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin/collateral without which we cannot deal/trade.

Therefore, I/we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/funds in settlement of trades/dealings, please keep the securities and monies with you and make credit entries for the same in running accounts of securities and fund maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin

obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account, please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in statement(s) being sent, the retention of funds/securities or transfer of securities to the Client Unpaid Securities Account and the details of the pledge with CC/CM, if any executed by way of transfer to the Client Collateral Account.

I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/ securities or statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever.

Please further note that I am/We are entitled to revoke this authorization at any time. I/we shall be liable for all losses, damages and actions, which may arise as a consequence of your adhering to and carrying out my/our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/ monies under this agreement. My/Our preference for actual settlement of funds and securities is at least:

- Once in a calendar quarter
- Once in a calendar month

**Thanking you,  
Yours Faithfully,**

Sole/First Holder OR Guardian (In case of Minor)

x	14/17
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**Name:** \_\_\_\_\_

**Unique Client Code (UCC):** \_\_\_\_\_



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# OPTION FORM FOR ISSUE OF DIS BOOKLET

DP ID: \_\_\_\_\_

Client ID \_\_\_\_\_

Date: DDMMYYYY

Sole/First Holder	
Second Holder	
Third Holder	

**To,**  
**NJ India Invest Private Limited**  
**Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,**  
**Central Road No.10, Udhna, Surat - 394210, Gujarat.**

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

**OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL/ NSDL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

**Yours faithfully**

	First/Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signatures</b>			

OR

**OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

**Yours faithfully**

	First/Sole Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signatures</b>			

.....(Please Tear Here).....

### Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID: \_\_\_\_\_

Client ID \_\_\_\_\_

Name of First/Sole Holder	
Name of Second Holder	
Name of Third Holder	

Depository Participant Seal and Signature



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## SMS ALERT & TRUST FACILITY (CDSL)

Registration Form for availing SMS Alert and /or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility

To,  
**NJ India Invest Private Limited**  
**Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,**  
**Central Road No.10, Udhna, Surat - 394210, Gujarat.**

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

SMART-SMS alert facility

TRUST- Transaction using Secured Texting facility

*(please note that SMS alert facility is mandatory if TRUST facility is opted for)*

BOID: 1 2 0 6 4 2 0 0 \_\_\_\_\_

Sole / First Holder's Name: \_\_\_\_\_

Second Holder's Name: \_\_\_\_\_

Third Holder's Name: \_\_\_\_\_

I/We wish to register the following clearing members / IDs under my/our above mentioned BO ID registered for TRUST

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile Number on which messages are to be sent: +91 \_\_\_\_\_

*(Please write only the mobile number without prefixing country code or zero).*

*(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)*

The mobile number is registered in the name of \_\_\_\_\_

Email ID: \_\_\_\_\_

*(Please write only ONE valid email ID on which communication; if any, is to be sent)*

I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

I/we acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / non-execution of the said transactions based on receipt/non-receipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

x \_\_\_\_\_ 15/17

Sole/First Holder OR Guardian (In case of Minor)

x \_\_\_\_\_ 03/05

Second Holder

x \_\_\_\_\_ 03/05

Third Holder

Date:   D  D  M  M  Y  Y  Y  Y  

Place: \_\_\_\_\_



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## E-STATEMENT & SMS ALERT FACILITY FORM - NSDL

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To,  
**NJ India Invest Private Limited**  
**Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,**  
**Central Road No.10, Udhna, Surat - 394210, Gujarat.**

Dear Sir/Madam,

I/We wish to avail the below mentioned facility(ies) for my/our Demat Account with NJ India Invest Private Limited (NJII) and I/We acknowledge and grant my/our consent to NJII for providing the said services as per the given Terms & Conditions:

**Statement on E-mail**

I/We confirm having opted to receive the statement(s) pertaining to the below mentioned BO account in electronic mode in lieu of the physical copy of the statement(s).

I/We also reserve my/our right to receive the physical copy of the statement(s) despite receiving the same in electronic mode, if such a demand is made in writing to NJII.

I/We confirm that any change in the E-mail address or any other instructions with regard to dispatch/service of my/our e-statements on me/us shall not be binding upon NJII unless NJII is intimated in writing by me/us by acknowledged delivery. NJII shall not take cognizance of out-of-office/out-of-station auto replies and I/We shall be deemed to have received such statements.

I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the E-mail account.

I/We am/are aware that the statement(s) may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.

I/We have understood that NJII & myself/ourselves holds the authority to terminate Statement on mail facility provided a written notice is given in advance to the other party.

I/We affirm that NJII shall not be responsible for the non-receipt of the Statement due to any change in my/our E-mail address and if the same is not intimated by me/us to NJII and that NJII shall not take cognizance of out-of-office/out-of-station auto replies and I/We shall be deemed to have received such Statements.

I/We undertake that it shall be my/our responsibility to verify all the details of my Statement(s). In case there is any discrepancy in the Statement(s); I/we shall inform NJII of the same by writing to dpservices@njgroup.in or to Customer Care at the above mentioned address. In case I/we do not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us. However NJII in its absolute discretion, reserves the right to determine the validity of any objection to the transaction, even though the objection is received after the expiry of stipulated time.

**Statement on Web**

I/We confirm having opted to receive the statement(s) pertaining to the below mentioned BO account in electronic mode in lieu of the physical copy of the statement(s).

I/We understood that Statement on Web facility would only be provided to me only when I have Online Trading Account with NJII.

I/We also reserve my/our right to receive the physical copy of the statement(s) despite receiving the same in electronic mode, if such a demand is made in writing on NJII.

I/We am/are aware that I/we will not receive the statement(s) in paper form and I/we would be required to login to NJII's Online account to view my statements.

I/We am/are aware that the statement(s) may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.

I/We have understood that NJII & myself/ourselves holds the authority to terminate Statement on web facility provided a written notice is given in advance to the other party.



## E-STATEMENT & SMS ALERT FACILITY FORM - NSDL

I/We undertake that it shall be my/our responsibility to verify all the details of my Statement(s). In case there is any discrepancy in the Statement(s), I/we shall inform NJII of the same by writing to [dpervices@njgroup.in](mailto:dpervices@njgroup.in) or to Customer Care at the above mentioned address. In case I/we do not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us. However NJII in its absolute discretion, reserves the right to determine the validity of any objection to the transaction, even though the objection is received after the expiry of stipulated time.

**SMS Alert Facility**

I/We understand that the SMS Alerts would be sent for all types of debits and credit's into the below mentioned Demat Account Number.

I/We provide the following information for the purpose of REGISTRATION/MODIFICATION (Please cancel out whichever is not applicable, as per the option(s) selected above).

DP ID IN304262

Client ID \_\_\_\_\_

(Please write your 8 digit Client ID)

Mobile Number on which messages are to be sent: +91 \_\_\_\_\_

(Please write only the mobile number without prefixing country code or zero).

The mobile number is registered in the name of \_\_\_\_\_

Email ID: \_\_\_\_\_

(Please write only ONE valid email ID on which E-Statement/Communications; if any, is to be sent)

The Depository Participant shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the Depository Participant providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the Depository Participant and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a Depository Participant may at any time incur, sustain, suffer or be put to as a consequence of or rising out of interference with or misuse, improper or fraudulent use of the service by the BO. The Depository Participant may amend the Terms and Conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Name: \_\_\_\_\_

x	16/17
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Sole/First Holder OR Guardian (In case of Minor)

Name: \_\_\_\_\_

x	04/05
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Second Holder

Name: \_\_\_\_\_

x	04/05
---	-------

Third Holder

Date: DDMMYYYY

Place: \_\_\_\_\_

**Signature Verification Details (to Be Filled By The Dp-official Only)**

Name		Signature	
Location		Emp. Code	





# SCHEDULE OF CHARGES

CDSL DP ID : 12064200 / NSDL DP ID: IN304262

## NJ India Invest Private Limited

Regd. Office : Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex,  
Central Road No.10, Udhna, Surat - 394210, Gujarat.

Particulars	Charges
Agreement charges	NIL
Annual Maintenance Charges -Normal	Individual : ₹ 300/- Corporates : ₹ 600/-
Demat / Remat charges	₹ 3/- per certificate + ₹ 50/- for courier handling per ISIN
Custody / Holding charges	Nil
Transfer security	-
Buy	Nil
Market / Off Market (Only Debit Transaction)	₹ 25/- ( ₹ 18/- for in house market transaction) per ISIN
Pledge (Creation/ Closure/ Invocation)	₹ 40/- per ISIN

### CONDITIONS :

1. Annual maintenance charges have to be paid at the end of 1 year from the date of account opening.
2. In case the client opts closure of the demat account within 1 year from the date of account opening, then Annual Maintenance Charges shall be charged proportionately as per SEBI circular.
3. All the charges mentioned above are inclusive of CDSL/NSDL charges.
4. GST as applicable would be levied.
5. The above charges are subject to change with 30 days prior notice. However, in case of revision of charges by CDSL/NSDL. A shorter notice may be given.
6. Charges once paid will not be refunded.
7. All instructions for transfer must be received at least one day before the execution/pay-in date.
8. Same day execution/late instructions will be accepted on "A best efforts basis" at the sole risk and responsibility of the depository account holder(s).
9. The depository services may be temporarily discontinued if the cheque given for availing DP services is returned unpaid. Intimation of discontinuation of the DP services shall be in accordance with the rules specified by CDSL/NSDL. The DP services shall be resumed after recovery of the returned cheque plus ₹100/- as additional charges.
10. All pledging services (creation, closure and invocation) shall be separately charged at the time of each transaction.
11. Value of securities will be in accordance with the rates provided by CDSL/NSDL.
12. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.

We have read and understood the charges and conditions as above and agree to abide by the same

BOID: \_\_\_\_\_

Name: \_\_\_\_\_

x	17/17
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Sole/First Holder OR Guardian (In case of Minor)

Name: \_\_\_\_\_

x	05/05
---	-------

Second Holder

Name: \_\_\_\_\_

x	05/05
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Third Holder



# FATCA-CRS Declaration - *Individuals*

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

## SOLE/FIRST HOLDER DETAILS

PAN\* \_\_\_\_\_

Name \_\_\_\_\_

Type of address given at KYC KRA

Residential

Residential or Business

Business

Registered Office

State \_\_\_\_\_

Phone No (with ISD Code) \_\_\_\_\_

Place of Birth \_\_\_\_\_

Country of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

Are you a tax resident of any country other than India? **Yes**  **No**

# If yes, Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN, GIIN, CIN, EIN, others, etc.

Country <sup>#</sup>	Tax Identification Number	Identification Type (TIN or Other, please specify)

## SECOND HOLDER DETAILS

PAN\* \_\_\_\_\_

Name \_\_\_\_\_

Type of address given at KYC KRA

Residential

Residential or Business

Business

Registered Office

State \_\_\_\_\_

Phone No (with ISD Code) \_\_\_\_\_

Place of Birth \_\_\_\_\_

Country of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

Are you a tax resident of any country other than India? **Yes**  **No**

# If yes, Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN, GIIN, CIN, EIN, others, etc.

Country <sup>#</sup>	Tax Identification Number	Identification Type (TIN or Other, please specify)



# FATCA-CRS Declaration - Individuals

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

## THIRD HOLDER DETAILS

PAN\*

Name

Type of address given at KYC KRA

Residential

Residential or Business

Business

Registered Office

State

Phone No (with ISD Code)

Place of Birth

Country of Birth

Nationality

Are you a tax resident of any country other than India?

Yes

No

# If yes, Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN, GIIN, CIN, EIN, others, etc.

Country #	Tax Identification Number	Identification Type (TIN or Other, please specify)

## DECLARATION & SIGNATURES

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after necessary consultation with tax professionals. I/We have read and understood the information provided by me/us in this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

x

Sole/First Holder

x

Second Holder

x

Third Holder

Place: \_\_\_\_\_

Date:                              

## FATCA & CRS Terms & Conditions

Details under FATCA & CRS : The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of Income tax Rules, 1962 which Rules require Indian financial institutions such as the Investment Entity/Custodial Institution to seek additional personal ,tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any Information provided by you, please ensure you advise us promptly, i.e within 30 days Please note that you may receive more than one request for information if you have multiple relationships with NJ India Invest Private Limited or its group entities. Therefore , it is important that you respond to our request, even if you believe you have already supplied any previously requested information.



# NON-MANDATORY - POWER OF ATTORNEY

## POWER OF ATTORNEY IN FAVOUR OF NJ INDIA INVEST PRIVATE LIMITED

To all to whom these presents shall come I/ we  
1) \_\_\_\_\_

residing at/ having its registered office at (As per  
KYC) \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

2) \_\_\_\_\_  
residing at/having its registered office at (As per  
KYC) \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

3) \_\_\_\_\_  
residing at/having its registered office at (As per  
KYC) \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Whereas I/ we hold beneficial owner account  
number \_\_\_\_\_ with Central  
Depository Services (India) Limited ("CDSL")/  
National Securities Depository Limited ("NSDL"),  
through NJ India Invest Private Limited registered  
with Securities and Exchange Board of India  
("SEBI").

And Whereas I/ we am/ are desirous to buy and sell

securities through NJ India Invest Private Limited,  
who is a SEBI registered Stock Broker and Trading  
Member of National Stock Exchange of India,  
Bombay Stock Exchange and Indian Commodity  
Exchange Limited bearing SEBI registration no.  
INZ000213137 and a Depository Participant with  
CDSL & NSDL bearing SEBI registration no.IN-DP-  
14-2015 ("Trading Member").

And Whereas I/ we am/ are desirous of appointing  
Trading Member as my/our constituted attorney to  
operate my/ our beneficial owner account on my/ our  
behalf for a limited purpose in the manner hereinafter  
appearing and subject to conditions as provided  
herein.

Now know you all and these presents witness that I/  
we do hereby nominate, constitute and appoint  
Trading Member as my/our true and lawful attorney  
and authorise it, to perform the following functions on  
my/our behalf:

1. To transfer securities held in my/ our  
aforementioned beneficial owner account(s) or any  
other account informed by me/us in writing to the  
Trading Member from time to time to the below  
mentioned beneficial owner account(s) of the  
Trading Member maintained for the purpose of  
settlement of trades executed by me/us on any  
recognized stock exchange through the Trading  
Member.

x \_\_\_\_\_ 03/05

Sole/First-Holder/Authorised Signatory

x \_\_\_\_\_ 01/03

Second-Holder/Authorised Signatory

x \_\_\_\_\_ 01/03

Third-Holder/Authorised Signatory



## NON-MANDATORY - POWER OF ATTORNEY

Name of the transferee (Trading Member)	Details of beneficial owner account	Name of the beneficial owner accounts
NJ India Invest Private Limited	1206420000000404	CM Pool Account (BSE)
NJ India Invest Private Limited	1206420000000398	CM Principal Account (BSE)
NJ India Invest Private Limited	1100001000020915	Early Pay in Account (BSE)
NJ India Invest Private Limited	IN30426210000029	NSDL Pool Account (BSE)
NJ India Invest Private Limited	1206420000012724	CM Clearing Member Account (NSE)
NJ India Invest Private Limited	1100001100018830	Early Pay in Account (NSE)
NJ India Invest Private Limited	IN30426210000004	NSDL Pool Account (NSE)
NJ India Invest Private Limited	IN30426210000096	NSDL Client unpaid securities Account (BSE)
NJ India Invest Private Limited	IN30426210000107	NSDL Client unpaid securities account (NSE)
NJ India Invest Private Limited	1206420012905404	CDSL Client unpaid securities account (BSE)
NJ India Invest Private Limited	1206420012905419	CDSL Client unpaid securities account (NSE)
NJ India Invest Private Limited	1206420012905894	CDSL Indian Commodity Exchange Limited-ICEX
NJ India Invest Private Limited	IN30426210000123	NSDL Indian Commodity Exchange Limited-ICEX

However, the said Power will be restricted to only transfer of securities to the Clearing Member ID allotted to the Trading Member by any existing or future exchange that the Trading Member has joined/ will join as a member or to any beneficial owner accounts linked to the said Clearing Member ID; provided that I/we have executed a Client Member Agreement with the Trading Member for such exchanges.

2. To pledge the securities in favor of the Trading Member for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the Trading Member in respect of below mentioned beneficial owner account(s) of the Trading Member.

Name of the transferee (Trading Member)	Details of beneficial owner account	Name of the beneficial owner accounts
NJ India Invest Private Limited	IN30426210000140	NSDL TM Client Securities Margin Pledge Account
NJ India Invest Private Limited	1206420014906261	CDSL Corporate TM/CM CMPA

3. To re-pledge such securities to the Clearing Member/ Clearing Corporation as the case may be.

4. To return to me/us, the securities that may have been received by the Trading Member erroneously or those securities that the Trading Member was not entitled to receive from me/us;

5. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

6. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights,

04/05

02/03

02/03

Sole/First-Holder/Authorised Signatory    Second-Holder/Authorised Signatory    Third-Holder/Authorised Signatory



## NON-MANDATORY - POWER OF ATTORNEY

offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker.

7. To apply for redemption or repurchase of units of mutual fund by signing & submitting requests to Depository Participant for processing on my/our behalf.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at **Block No. 901 & 902, 6th floor, 'B' Tower, Udhna Udhayog Nagar Sangh Commercial Complex, Central Road No 10, Udhna, Surat - 394 210, Gujarat.**

**IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year herein below written.**

Name: \_\_\_\_\_ Name: \_\_\_\_\_ Name: \_\_\_\_\_

x \_\_\_\_\_ 05/05

x \_\_\_\_\_ 03/03

x \_\_\_\_\_ 03/03

Sole/First-Holder/Authorised Signatory

Second-Holder/Authorised Signatory

Third-Holder/Authorised Signatory

**In presence of**

Witness Name \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature of  
Witness

x \_\_\_\_\_

**We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.**

**For NJ India Invest Private Limited**

x \_\_\_\_\_

**Authorised Signatory**

Name \_\_\_\_\_

Designation \_\_\_\_\_

Witness Name \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature of  
Witness

x \_\_\_\_\_

Date:  D D M M Y Y Y Y

Place: \_\_\_\_\_



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**NACH/ECS/AUTO DEBIT**

**MANDATE INSTRUCTION FORM**

UMRN

Date

Tick

Sponsor Bank Code

Utility Code

- 
- 
- 

I/We hereby authorize **NJ India Invest Private Limited**

to debit (tick )

Bank a/c number

with Bank  IFSC  or MICR

an amount of Rupees  ₹

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented

DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1 (Mandate Reference No.)  Phone No.

Reference 2 (Unique Client Code-UCC)  Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From

To

Or  Until Cancelled

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.  
- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

**NACH/ECS/AUTO DEBIT**

**MANDATE INSTRUCTION FORM**

UMRN

Date

Tick

Sponsor Bank Code

Utility Code

- 
- 
- 

I/We hereby authorize **BSE Limited**

to debit (tick )

Bank a/c number

with Bank  IFSC  or MICR

an amount of Rupees  ₹

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented

DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1 (Mandate Reference No.)  Phone No.

Reference 2 (Unique Client Code-UCC)  Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From

To

Or  Until Cancelled

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.  
- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.





# BANK MANDATE TERMS & CONDITIONS

## Bank Mandate Terms & Conditions :

1. Bank Mandate shall be in favor of 'NJ India Invest Private Limited'. (Hereinafter 'NJ')
2. The Bank details in the Bank Mandate MUST match with bank details in Client's Trading Account.
3. Client Signature on bank mandate must be as per bank records. Signature of all bank account holders required if mode of holding in account is "Joint"
4. NJ reserves the right to register bank mandate in any available modes ie Auto Debit, ACH, ECS,.
5. Bank Mandate shall take 30 days to get registered from the date of submission of Mandate at NJ PSC (subject to Bank confirmation).
6. Client bank may charge client account for activating any such services. Neither NJ nor its service provider shall be held responsible or bear any such charges.
7. Mandate format is subject to change as per the guidelines received from RBI/Bank or other concerned governmental or statutory authorities. On receiving any such intimation from RBI or Bank, NJ or its service provider may change the Mandate without prior notice to the Clients & Transactions may be rejected by NJ or its service provider or Client's Bank due to any such change. Neither NJ nor its service provider shall be held responsible for any such rejections.
8. The mandate can also be used for collection of all kind of DP charges including Annual Maintenance Charges from the Client's bank account.
9. This mandate covers all the fund obligations of the Client including pay-in and other charges etc in respect of Client's transactions and on account of any default thereon.

## Call & Transact Terms & Conditions:

1. On activation of Trading Account, Call & Transact user ID & TPIN will be sent to client registered email id & mobile number. Client MUST ensure confidentiality of the same.
2. Client can place transaction on Call & Transact for all segments offered by NJ.
3. MF purchase transaction will be accepted on Call & Transact only if the Client's registered bank is from the list of Banks offered by NJ for purchase facility.
4. It is client responsibility to check the cut-off time for same day NAV before placing the transaction.
5. If the Transaction(s) are delayed / not processed due to any reason including delay / non realization of the funds or status to NJ from Client's bank, In no circumstances NJ owes the responsibility to client.
6. Client has to call on the designated phone number to place the transaction. Client will have to enter User ID & TPIN to place the transaction. Transactions once placed on Call, shall not be reversed in any circumstances whatsoever.
7. Client has to ensure sufficient fund in the bank account before placing the purchase transaction through Call & Transact.
8. Funds (inclusive of brokerage if any) will be debited from Client bank account for the transactions placed through Call & Transact facility. If funds are not received from Client's bank account, Transaction will be rejected.
9. Client bank may levy any charges to client bank account if payment debit request submitted by NJ is failed due to any reason. Neither NJ nor its service provider shall be held responsible for any failure & any charges levied by the bank.
10. Maximum Upper Limit: Cumulative amount (All Segments) on a particular date shall not exceed the upper limit mentioned on the Bank Mandate. Further, on the Instalment date of Registered SIP (MF or CM) the available balance for investment through Call & Transact shall be balance after SIP Instalment amount on that particular date. Eg: If the upper limit mentioned on the bank mandate is 10,000 & investor has registered SIP of 5000/- on 1st of every month, then balance for investing through Call&Transact on 1st will be 5000 only.
11. Call & Transact service is available subject to applicable laws and regulatory compliances from time to time.
12. NJ reserves rights to change the terms and conditions from time to time.
13. Any dispute shall be subject to jurisdiction of Courts at Surat only.

\*Client Name: \_\_\_\_\_

\*Unique Client Code(UCC): \_\_\_\_\_

\*Date:                              

Client Signature:



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## SIP SPECIFIC TERMS & CONDITIONS

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1. The SIP will be registered pursuant to the details given in the TIS (Transaction Instruction Slip) & incomplete TIS or incorrect information may be subject to rejection by NJ.
2. NJ will check the correctness of TIS & other documents submitted before registration of Client SIP(s).
3. The Client submitting the Transaction Instruction Slip to NJ India Invest Private Limited (NJ) shall all the time abide by these Terms and Conditions.
4. Amount debited from Client's bank account for SIP transaction(s) shall include Brokerage charges, if any.
5. Client can register for SIP in the schemes which are available on Exchange(s) and offered by NJ.
6. SIP shall commence only after successful registration of the Mandate.
7. SIP shall commence after 40 days from the date of submission of TIS and Bank Mandate at NJ PSC as per the SIP start date selected.
8. In the case, where Bank Mandate is already registered and Client desires to start additional SIP against the existing Mandate Limit, SIP start date will be after 10 working days from the date of submission of TIS at NJ PSC as per the SIP Start Date selected (applicable in case an open mandate is given).
9. Depending upon the bank of Client / location of Client's bank branch, Client's Bank Account shall be debited between 3 to 5 days prior or on SIP transaction date on Exchange(s). eg: if the SIP transaction date is 15th of every month, Client bank account may get debited between 10th to 12th date or maximum by 15th.
10. Maximum Upper Limit: Cumulative amount on a particular date shall not exceed the upper limit mentioned on the Bank Mandate. Eg: if the upper limit mentioned on the bank mandate is 10,000 & investor has registered 3 SIPs of 5000/- each on 1st, 15th & 28th of every month, all the SIPs will be successfully registered. But a single SIP of 11000/- on a same date will not be registered.
11. If the Transaction(s) are delayed / not processed due to any reason including delay / non realization of the funds to NJ from Client's bank account, In no circumstances, NJ owes responsibility to Client or any third party, whatsoever.
12. If the transaction(s) are delayed / not processed due to any reason on the SIP due date, no back dated NAV will be given in any circumstances whatsoever.
13. In case if Client SIP fund is realised in NJ account after SIP due date, Client's SIP transaction will be cancelled by NJ and such transaction shall be processed as "Purchase" on the date of realisation of the funds. If for any reason, "Purchase" transaction could not be processed, the funds will be refunded to Client's bank account.
14. Payment collection will be done by BSE for any SIP which is registered on the Mandate registered with BSE.
15. If the installment amount is not received by BSE on or before SIP installment date, SIP Installment will be cancelled by BSE.
16. For cancelled installment, collected amount will be refunded to client registered bank account.
17. NJ reserves rights to change the terms and conditions from time to time.
18. Any dispute shall be subject to jurisdiction of Courts at Surat only.

\*Client Name: \_\_\_\_\_

\*Unique Client Code(UCC): \_\_\_\_\_

\*Date:                              

Client Signature:



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# BSE BANK MANDATE TERMS & CONDITIONS

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1. Bank Mandate shall be in favor of 'BSE Limited'. (Hereinafter 'BSE')
2. The Client name MUST match with the name registered with NJ as per the UCC.
3. The Bank details in the Bank Mandate MUST match with registered bank details in Client's Trading Account.
4. The Transaction value and brokerage charges, if any, shall be debited from Client's bank account .
5. BSE reserves the right to register bank mandate in any available modes ie ACH & ECS,.
6. Mandate registration shall take 30 working days to get registered from the date of submission of Mandate at NJ PSC subject to Bank Confirmation.
7. Client bank may charge for activating any such services from the Client's account. Neither NJ nor its service provider shall be held responsible or bear any such charges.
8. Client shall ensure sufficient balance in Client's bank account for successful processing of Transactions.
9. Mandate format is subject to change as per the guidelines received from BSE or RBI/Bank or other concerned governmental or statutory authorities. On receiving any such intimation from RBI or Bank or any other concerned party, NJ or its service provider may change the Mandate without prior notice to the Clients & Transactions may be rejected by NJ or its service provider or Client's Bank due to any such change. Neither NJ nor its service provider shall be held responsible for any such rejections.
10. Payment collection will be done by BSE for any SIP which is registered on the Mandate registered with BSE.
11. If the installment amount is not received by BSE on or before SIP installment date, SIP Installment will be cancelled by BSE.
12. For cancelled installment, collected amount will be refunded to client registered bank account.
12. NJ reserves rights to change the terms and conditions from time to time.
13. Any dispute shall be subject to jurisdiction of Courts at Surat only.

\*Client Name: \_\_\_\_\_

\*Unique Client Code(UCC): \_\_\_\_\_

\*Date:                              

Client Signature:



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**FINANCIAL  
PRODUCTS  
DISTRIBUTORS  
NETWORK**

**Head Office: NJ India Invest Private Limited**, Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna, Surat - 394 210, Gujarat.  
Phone: 91 261 4025500 | Website: [www.njwealth.in](http://www.njwealth.in) | CIN: U67120GJ2000PTC037674  
SEBI Reg No - BSE, NSE & ICEX: INZ000213137, SEBI Reg No - CDSL & NSDL: IN-DP-14-2015  
**Processing Centre:** Plot No. 232, Ground Floor and First Floor, Silvassa Commercial Complex, Tokarkhada, Silvassa - 396 230 | Mo.: 9909042468 | Email: [dpservices@njgroup.in](mailto:dpservices@njgroup.in)