

Annexure 1
ACCOUNT OPENING KIT
INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	2 – 3
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	4 – 5
		C. KYC for Demat Account	6 - 9
		D. Instruction / Checklist for filing KYC Form	10 – 13
2.	Rights and Obligations	Document stating the Rights & Obligations of Depository Participant and Beneficial Owner.	14 – 15
3.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	16 – 21
4.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	22 – 25
5.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	26 – 27
6.	Policies and Procedures	Document describing significant policies and procedures of the stock broker (<i>to be added by the stock broker</i>).	28 – 32
7.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (<i>to be added by the stock broker</i>).	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
8.	Running a/c Authorisation	Required for maintaining client account on a running basis	33
9.	ECN Authorisation	Required for receiving contract note / communication in electronic form	34
10	Account Operation terms	Required for operation convenience of trading & demat accounts	35
11	AML requirement	Literature of AML for PMLA information	36 – 39
Name of Stock Broker		S.P.JAIN SECURITIES PVT LTD	
Registered Office / Correspondence Office Address		14, Ambalal Doshi Marg, Raja Bahadur Bldg, 2,3 rd floor, Fort, Mumbai – 400 023	
Exchange	B S E	SEBI Registration No. & Date	INB011059533 Dt 07/07/1999
	NSE	SEBI Registration No. & Date	INB231059537 Dt 28/07/2006
BSE Membership No.	6 2 0	NSE Membership No.	1 0 5 9 5
Phone	022 22666313/324/325	Fax	022 22696105
Email for grievance	spjainsecurities@mtnl.net.in	Website	
BSE Compliance Officer Name	Bankim Desai	NSE Compliance Officer Name	Lalit S Jain
Phone No.	022 22666313/324/325	Phone No.	022 22666313/324/325
Email	spjainsec@yahoo.co.in	Email	spjainsec@yahoo.co.in

For any grievance/dispute please contact stock broker S.P.Jain Securities Pvt Ltd at the above address or email id spjainsecurities@mtnl.net.in Phone no. 91-022-22666313/324/325. In case not satisfied with the response, please contact the concerned exchange(s) for BSE Email id ig@bseindia.com and Phone No. 91-022-22728097 for NSE Email id ignse@nse.co.in Phone No.91-022-26598190.

WE Confirm that we have received the copy all the documents mentioned above.

X _____

(Signature) of (Client)

Annexure 2
KNOW YOUR CLIENT (KYC) APPLICATION FORM
For Individuals

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

Name of the applicant											
Father / Spouse Name											
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married								
Date of Birth		PAN									
Nationality		Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National								
Aadhaar Number, if any											
Specify the proof of Identity submitted											

B. ADDRESS DETAILS

Address for Correspondence											
City/Town/Village		PIN Code									
State		Country									
Contact Telephone No. (O)		Contact Fax No.									
Contact Telephone No. (R)		Contact Mobile No.									
Contact E-mail ID											
Specify the proof of address submitted for Correspondence Address											
Permanent Address (if different from above or overseas address, mandatory for NRI)											
City/Town/Village		PIN Code									
State		Country									
Specify the proof of Address submitted for Permanent Address											

C. OTHER DETAILS

Gross Annual Income (please specify)		Income Range per annum:	
OR		<input type="checkbox"/> Below 1,00,000	<input type="checkbox"/> 1,00,001 to 5,00,000
		<input type="checkbox"/> 5,00,001 to 10,00,000	<input type="checkbox"/> 10,00,001 to 25,00,000
		<input type="checkbox"/> More than 25,00,000	
Net Worth as on Date		Rs.	Net worth should not be older than 1 year
Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____		
Please tick if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person		
Any other information			

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 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.

	Signature of the Applicant
Name	
Signature	

(Signatures should be preferably in black ink).

Date: _____

FOR OFFICE USE ONLY

- (Originals verified) True copies of documents received
- (Self-Attested) Self Certified Document copies received

(.....)
 Signature of the Authorised Signatory
 Seal/Stamp of the intermediary

Date _____

ALL EXCHANGES RUNNING ACCOUNT AUTHORISATION - VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document)

To,
S.P.Jain Securities Pvt Ltd
14, Ambalal Doshi Marg ,
Raja Bahadur Bldg, 2,3 floor
Fort, Mumbai – 400 023.

Sir(s),

Re: Running Account Authorisation

We are aware that as per the SEBI/ Exchange requirements, the settlement of funds/securities shall be done within one working day of the payout. However, we request you to kindly keep my account as a running account, which will entail that all securities and funds due to us on payout shall be withheld with yourselves and given to us only on demand. We understand that:

1. For the purpose of operational convenience, I/We hereby give my/our consent to maintain my/our account both for funds and securities, on running account basis. I /We also consent to your retaining of funds & securities as the case may be towards the margin or for settlement of funds & securities in any segment of any of the stock exchanges.
2. I/We will make the written request for any payout of funds / securities to be done by you.
3. I/We authorize you to deposit any of the securities kept as collateral by me/us from time to time with any of the Stock Exchange or respective Clearing corporation of the concerned Stock Exchange towards margin.
4. I/We also agree to your transfer of securities in my demat account on payout of the same without any adjustment being made towards the shares to be delivered by me in the payin of the ensuing settlement I/We shall be fully responsible for carrying the payin of the securities sold by us.
5. The manner of renewal will be as per the policies on your website < _____> which under all circumstances shall be conforming to the norms prescribed by SEBI/ Exchanges
6. I/We can revoke this running account authorization at any time, however such termination shall be subject to physical delivery of revocation letter at your registered office to make necessary changes in making my account without running account authorization.
7. I/We agree to bring to your notice any dispute arising from the statement of account / securities within 7 working days form the date of the receipt of the same.
8. I/We authorize you to settle my/our account with you once in a calendar month / once in a calendar quarter.

Thanking you

(Client Signature)

Date:-

Digitally Signed Contracts/ Communications – All Exchanges - Voluntary

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure smooth communication between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document)

To,
S.P.Jain Securities Pvt Ltd
14, Ambalal Doshi Marg ,
Raja Bahadur Bldg, 2,3 floor
Fort, Mumbai – 400 023.
Re: Digitally signed contract/communication confirmation

I/We hereby consent for receiving Authenticated Digitally Signed Electronic Contract Note (ECN) and other communication via email on our email ID as

Mobile No. _____

- You shall be issuing ECNs authenticated by means of digital signatures issued & specified by the Certifying Authority under the Information Technology Act, 2000.
- ECN sent by you through the e-mail shall be digitally signed, encrypted, non tamper able and shall comply with the provisions of the IT Act, 2000.
- You will allot a unique user name and password to enable us to access the ECNs posted on the website <_____> in a secured way with an option to access the same for a reasonable period of time.
- My non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
- I/We have noted that non-receipt of bounced mail notification from our email ID shall amount to delivery of the ECNs/ communication at my/our e-mail ID
- I/We have noted that Where ever the ECNs have not been delivered or has been rejected in case of bounced mail you shall send a physical contract note to me/us.
- I/We agree that In case of failure in system or errors in sending the digital contract notes, the contract notes issued in physical form shall be binding on me/us
- I/We have noted that any other communication such as STT statement, Financial & Securities Statements, Daily Obligation Statement/ Margin Statement or any other information sent by you on the above email id will be treated as the delivery of the information provided.
- I/We also agree that in absence of my/our communication regarding non receipt of the email / information will be deemed as receipt of the email sent by you electronically.
- Any change in the email ID shall be communicated by us through a physical letter to yourselves or fresh submission of this letter should be treated as sufficient for change in my email id for all communication.
- Email ID given above is the new Email ID hence forth , the same can be updated in all of my details where ever required.
- I/We hereby authorize the undersigned Mr. Ms. _____ to collect & acknowledge on my/our behalf the Bills / Contracts of my / our daily transactions & any other documents.

(Client Signature)

(Signature of the Authorized Signatory)

Date:-

LETTER FOR OPERATIONS OF ACCOUNT – ALL EXCHANGES - VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document)

To,
S.P.Jain Securities Pvt Ltd
14, Ambalal Doshi Marg ,
Raja Bahadur Bldg, 2,3 floor
Fort, Mumbai – 400 023.

Sir(s),

Re: Letter for operations of account

For the smooth operations of the account, kindly note our following instructions:

1. I/We authorize you to accept buy / sell order for securities over the telephone / fax / email or by any other mode of information / communication conveyed by me/us and no need to take separate instructions in writing every time. All such orders and trades will be binding on me/us.
2. I/We agree that I/We do not require your modification / confirmation / cancellation slips and trade confirmation slips.
3. I/We authorize you to debit my/our account with you towards the Debit dues of the Demat Account held with you . I/We will not object to any such debit entries made by you towards the debit dues in my/our demat account with you.
4. I/We agree that any information for adjustment of the securities in ensuing payin obligation will be made by me prior to the date of the payout & will be at your discretion without any responsibility on you to do the same.
5. I /We hereby authorize you to debit my/our trading account for debit in my/our demat account (Depository Account) held with you as and when bills are raised or at your discretion & shall not be binding on you to do so.
6. I/We hereby authorize you to debit my/our trading account for Internet trading / Securities pledged towards margin or any other facilities voluntarily being availed by me & chargeable from time to time. I also hereby authorize you to debit my trading account in case of charges / penalties levied for non-compliance of the Bye Laws, Rules and Regulations as laid down by SEBI / Exchanges / Depositories or any other government authorities.
7. I/We hereby agree to your adjustment of the financial obligation in same / different segment & same / different exchanges by way of Journal Entries or Financial transactions & same will be binding on me / us.

Thanking you

(Client Signature)

Date:-