



**TRADEJINI®**

Your Passion Our Platform

Account Opening Form - Individual

## KNOW YOUR CLIENT (KYC) APPLICATION FORM

<b>CLIENT CODE</b>	
<b>BOX / SERIAL NO.</b>	

**NSE | BSE | MCX | MSEI | CDSL | MF**

Version 3.1

PLEASE FILL THE BELOW DETAILS IN **BLOCK LETTERS**
**CLIENT DETAILS:**

Applicant Maiden Name (if any)			
Applicant Mother's Name			
Applicant Email ID			
Applicant Mobile No.			
Gross Annual Income		<input type="checkbox"/> <1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs	
Networth Amount			
Marital Status		<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others	
Occupation		Education	
Company		Designation	

**NOMINEE DETAILS:**

Nominee Name	
Relationship with Nominee	
Nominee Date of Birth	
Nominee Email ID	
Nominee Mobile No.	

**SELF ATTESTED DOCUMENTS TO BE ATTACHED WITH APPLICATION FORM**

- Copy of PAN Card
- Copy of Aadhaar Card
- Copy of Address proof
- 1 passport size colour photograph (Please paste the photo on the form & sign across )
- Latest 6 months bank statement and 1 cancelled cheque leaf

**Note :** Wherever signatures are marked (F1, F2, F3, ..... ) Please sign there  
 Please ensure that all proofs being sent are self attested  
 Witness signature in Nomination page (P-9) & Power of Attorney page (P-12) should be done

## FOR ANY QUERIES CALL US ON **080 – 4020 4020**

**PLEASE SEND APPLICATION FORM TO**

The KYC Department  
 Tradejini Financial Services Pvt Ltd  
 Vasavi Square, No - 75/757, II Floor,  
 10<sup>th</sup> Main, 4<sup>th</sup> Block Jayanagar,  
 Bangalore - 560 011

For Office Use Only	
Sales Executive Name/Code	
Scheme Code	
Introducer Code / Name	
IPV Status	
AOC	
DP AMC	

**TRADING MEMBER CONTACT DETAILS**

Name of the Trading Member Member of NSE, BSE, MCX, MSEI Depository (CDSL)   MF Registered Office Address Corporate Office and Correspondence Address Phone No./ Website / Email	TRADEJINI FINANCIAL SERVICES PRIVATE LIMITED SEBI Regn.No : INZ000160938 IN-DP-CDSL-681-2013   Mutual Fund ARN : 87156 "Suvas", #4, Shankarmutt Road,3rd Cross, Shankarpuram, Bangalore-560004 Vasavi Square,#75/757,2nd Floor,10th Main, 4th Block, Jayanagar, Bangalore-560011 080-40204020 / www.tradejini.com / help@tradejini.com
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**NAME & DETAILS OF THE CLEARING MEMBER**

NSE, BSE, MSEI Cash	Tradejini Financial Services Pvt. Ltd.	SEBI Regn.No. INZ000160938
NSE F&O, NSE Currency Derivatives	Tradejini Financial Services Pvt. Ltd.	SEBI Regn.No. INZ000160938
BSE F&O	IL&FS Securities Services Ltd.	SEBI Regn.No. INZ000163538
BSE, MSEI Currency Derivatives	Edelweiss Custodial Services Ltd	SEBI Regn.No. INZ000177437
MCX Commodity Futures & Options	Edelweiss Custodial Services Ltd	SEBI Regn.No. INZ000177437
MSEI Futures & Options	Edelweiss Securities Ltd.	SEBI Regn.No. INZ000166136

**COMPLIANCE OFFICER DETAILS**

Compliance Officer :	Dinesh Kumar M   080 - 40204020   compliance@tradejini.com
For any grievance/dispute please contact :	Tradejini Financial Services Pvt Ltd at the above Correspondence address or Email us at : complaints@tradejini.com, Phone No. 91-80-40204020.
In case not satisfied with the response, please contact :	NSE : ignse@nse.co.in or Call at 91-22-26598190 BSE : is@bseindia.com or Call at 91-22-22728097 MCX : grievance@mcxindia.com or Call at 91-22-67318888 MSEI : investorcomplaints@msei.in or Call at 91-22-61129000

**Annexure – 1**  
**ACCOUNT OPENING KIT**  
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S.NO	Name of the document	Description	Page No's
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4	Guidance note	Provided to client (consent declaration on P-6)	
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## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS

- Self-attested copy of PAN card is mandatory for all clients, including Promoters / Partners / Karta / Trustees and whole time directors and persons authorised to deal in securities on behalf of company / firm/others.
- Copies of all documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then the translation into English is required.
- Name and address of the applicant mentioned in the KYC form, should match with the documentary proof submitted.
- If correspondence and permanent address are different, then proofs of both have to be submitted.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- Sole proprietor must take the application in his individual name and capacity.
- For non-residents and foreign nationals(allowed to trade subject to RBI and FIPB/FEMA guidelines and other applicable statutory approvals) copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional and in the absence of DIN NO. for the directors, their passport copy should be given.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, Senior Politicians, Senior Government/Judicial/Military Officers, Senior executives of State owned Corporations, Important Political party Officials, etc.,
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.

### B. PROOF OF IDENTITY (POI) / LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF IDENTITY

- PAN card with photograph.
- Unique Identification Number (UID) (AADHAR) /Passport / Voter ID / Driving License.
- Identity card issued by any of the following: Central/ State Government and its departments, Statutory/Regulatory Authorities/Public Sector Undertakings /Scheduled Commercial Banks, Public Financial Institutions, Colleges Affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their members and Credit Cards/Debit Cards issued by Banks

### C. PROOF OF ADDRESS / LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF ADDRESS.

**(Note: Documents having an expiry date should be valid on date of submission)**

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy/ Unique Identification Number (UID) (Aadhaar).
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement / Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised ) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

### D. EXEMPTIONS / CLARIFICATIONS TO PAN

**(\*Sufficient documentary evidence in support of such claims to be collected.)**

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/-p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral & Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA & Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS

- Notary Public, Gazetted Officer, Manager of a scheduled Commercial / Co-Operative Bank or Multinational Foreign Banks (Name, Designation & seal should be affixed on the copy)
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy / Consulate General in the country where the client resides are permitted to attest the documents.

### F. ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS- ILLUSTRATIVE LIST:

Copy of ITR Acknowledgment	Copy of Annual Accounts
In case of salary income, Salary slip, Copy of Form 16	Net worth certificate
Copy of Demat account holding statement	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents

**\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.**

- Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
  - Stock broker has an option of doing 'in-person' verification through the branch office of the stock broker / sub-broker's office.
  - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consultant General in the country where the client resides may be permitted.

**Know Your Customer (KYC) Application Form - Individual**
**Important Instructions:**

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

**For office use only**

(To be filled by financial institution)

Application Type\*

 New  Update

KYC Number

(Mandatory for KYC update request)

Account Type\*

 Normal  Simplified (for low risk customers)  Small


**1. PERSONAL DETAILS**

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across

**Sign Across on the Photo**



**2. TICK IF APPLICABLE**
 RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

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

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*

ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\***

 (Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

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

**4. PROOF OF ADDRESS (PoA)\***

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

 (Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

AddressType*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/> please specify	
	<input type="checkbox"/> Simplified Measures Account - Document Type code			<input type="text"/>	

**Address**

Line 1*	<input type="text"/>				
Line 2	<input type="text"/>				
Line 3	<input type="text"/>				
District*	<input type="text"/>	Pin / Post Code*	<input type="text"/>	State / U.T Code*	<input type="text"/>
				ISO 3166 Country Code*	<input type="text"/>

**4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \***
 Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

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

**4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)**
 Same as Current / Permanent / Overseas Address details
  Same as Correspondence / Local Address details

Line 1*																	
Line 2																	
Line 3																	
State*						ZIP / Post Code*						City / Town / Village*					
										ISO 3166 Country Code*							

**5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)**

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

**6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1')**
 Addition of Related Person
  Deletion of Related Person
 KYC Number of Related Person (if available\*)

Related Person Type*	<input type="checkbox"/> Guardian of Minor		<input type="checkbox"/> Assignee		<input type="checkbox"/> Authorized Representative	
Name*	Prefix	First Name	Middle Name	Last Name		

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

**PROOF OF IDENTITY [PoI] OF RELATED PERSON\***

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

**7. REMARKS (If any)**


**8. APPLICANT DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

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

Date : DD - MM - YYYY Place :

<b>F2</b>	[Signature / Thumb Impression]
	
Signature / Thumb Impression of Applicant	

**9. ATTESTATION / FOR OFFICE USE ONLY**
**Documents Received**  Certified Copies

**KYC VERIFICATION CARRIED OUT BY**

Date	DD - MM - YYYY				
Emp. Name					
Emp. Code					
Emp. Designation					
Emp. Branch					

[Employee Signature]

**INSTITUTION DETAILS**

Name	Tradejini Financial Services Pvt Ltd.														
Code	I N 0 3 1 2														

[Institution Stamp]

**OTHER DETAILS**

**Gross Annual Income Details** : Income Range per annum:  <1 Lac  1-5 lacs  5-10 lacs  10-25 Lacs  >25 LACS ; **OR**  
**Net-worth as on** (date) : DD / MM / YYYY is Rs. \_\_\_\_\_ (Net worth should not be older than 1 year)  
**Please tick, if applicable** : Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

**BANK ACCOUNT (S) DETAILS (For Trading & Demat)**









Bank Name																				
Branch Name																				
Branch Address																				
Bank A/c No .																				
A/c Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> NRI/NRE/NRO	<input type="checkbox"/> Others	P L S P E C I F Y															
MICR Code																				
IFSC Code																				

**DEPOSITORY ACCOUNT (S) DETAILS**

Depository Participant Name																				
Depository Name	<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL																		
Beneficiary Name																				
DP ID																				
CLIENT ID																				

**TRADING PREFERENCES**

\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be stuck off by the client

Exchanges	Segments		
	F & O	Cash	Currency Derivatives
NSE	<b>F3</b> 	<b>F4</b> 	<b>F5</b> 
BSE	<b>F6</b> 	<b>F7</b> 	<b>F8</b> 
MCX	<b>F9</b> 	Mutual Funds	<b>F10</b> 

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

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be provided by the client.

**PAST REGULATORY ACTIONS**

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / Commodity Exchange any other authority against the applicant / constituent or its Partner / promoters / whole time directors / authorized persons in charge of dealing in Securities / Commodities during the last three years : \_\_\_\_\_

**DEALINGS THROUGH OTHER BROKERS**

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

Name of stock broker : \_\_\_\_\_ Client Code : \_\_\_\_\_

Name of Sub-Broker, if any : \_\_\_\_\_ Exchange : \_\_\_\_\_

Details of disputes/dues pending from/to such stock broker/sub-broker : \_\_\_\_\_

**DEALINGS THROUGH SUB-BROKER / AUTHORIZED PERSONS**

If client is dealing through the sub-broker, provide the following details :

SUB- broker's Name : \_\_\_\_\_ Phone No : \_\_\_\_\_ Fax: \_\_\_\_\_

SEBI Registration number : \_\_\_\_\_ Website: \_\_\_\_\_

Registered office address : \_\_\_\_\_






8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the Stock Broker/Exchanges.

## DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the 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.
- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of all Voluntary / non-mandatory document of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) (including additional rights & obligations in case of internet / wireless technology based trading) and 'Risk Disclosure Document and Guidance Note. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

I request you to provide me copy of the following standard documents:

- |   |  |
|---|--|
| <input type="checkbox"/> Email (as mentioned in contact details of P-3) | <input type="checkbox"/> Physical        |
| 1. Rights & Obligation of Stock Broker – Client and DP – BO             | 3. Guidance Note detailing DO's & Don'ts |
| 2. Uniform Risk Disclosure Documents                                    | 4. KYC Application form                  |

**F11**  
  
 Client Signature: \_\_\_\_\_

Date : \_\_\_\_ / \_\_\_\_ / \_\_\_\_ Place : \_\_\_\_\_

## FOR OFFICE USE ONLY

- (Original Verified) True Copy of documents received  (Self-Attested) Self Certified documents copies received

UCC Code allotted to the Client : \_\_\_\_\_

	Documents Verified with Originals	Client Interviewed By	In-Person Verification Done By
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s) (including additional rights & obligations in case of internet / wireless technology based trading), 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 our website, for the information of the clients.

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

Seal/Stamp of Stock Broker Signature of the Authorised Signatory	For Tradejini Financial Services Pvt Ltd  Authorised Signatory
---	--

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

**TRADEJINI ONLINE TARIFF SHEET**

**TRADEJINI FINANCIAL SERVICES PVT. LTD.,  
BANGALORE.**

**Charges for Tradejini Financial Services Pvt Ltd's online trading services :**


I agree to pay the charges as per following charges structure for my Trading account with TRADEJINI :

<b>Charge Head</b>	<b>Brokerage / Charges</b>
Equity Intraday	Rs 20 per executed order or 0.01% of Turnover whichever is lower
Equity Delivery	Rs 20 per executed order or 0.1% of Turnover whichever is lower
Equity / Currency / Commodity Futures	Rs 20 per executed order or 0.01% of Turnover whichever is lower
Equity / Currency / Commodity Options	Rs 20 per executed order
NRI – Equity Delivery	Rs 200 per executed order or 2.5% of Turnover whichever is lower
NRI – Future & Options	Rs 200 per executed order placed using a CP code

**Brokerage is also charged on expired, exercised, and assigned Futures & Options contracts**

In addition to the brokerage, following statutory charges will also be levied:

1. Securities / Commodity Transaction Tax (STT / CTT )
2. SEBI Turnover Fees
3. Transaction Charges (includes Exchange Transaction Charges & Clearing Member Charges)
4. Stamp Duty: State-wise stamp duty as applicable will be levied
5. Goods & Service Tax (GST) as applicable will be levied
6. Call & Trade / Square-Off Charges (Rs.20 per order) will be levied

<b>F12</b>		
Client Signature		

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

**ONLY FOR NEW TRADEJINI DEMAT ACCOUNT**

( To be filled by Applicant in BLOCK LETTERS in English )

I / We request you to open a demat account in my / our name as per following details

**Holders Details:**

Sole/First Holder's Name	PAN No.	AADHAAR
Second Holder's Name	PAN No.	AADHAAR
Third Holder's Name	PAN No.	AADHAAR

**TYPE OF ACCOUNT** (please ✓ whichever is applicable)

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

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

Guardian's Name	PAN									
Relationship with the applicant										
I/We instruct the DP to receive each and every credit in my/our account (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 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 Required	<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 E-mail 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 (If not marked, the default option would be in 'Physical')	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic									
I/We wish to receive dividend / interest directly into my bank account given 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									
<b>SMS alert Facility</b>	MOBILE NO +91 _____ [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)									
<b>Transcation Using Secured Texting Facility (TRUST)</b>	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									
	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID								
<b>BSDA</b>	I/We wish to avail the BSDA facility if selected 'No' the demat account will be treated as normal demat account until and unless the BO requests for conversion to BSDA									
<b>Easi</b>	To register for easi, please visit CDSL website www.cdslindia.com. Easi allows you to view your ISIN balances, transactions and value of the portfolio online									

As per Prevention of Money Laundering Act, 2002 (hereinafter referred to as "Act") which came into effect from July 1, 2005 vide Notification No. GSR 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Government of India and SEBI vides its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 that the intermediary has to formulate and implement certain measure to obtain additional disclosure and also as per SEBI circular reference no. ISD/CIR/RR/AML/2/06 dated March 20, 2006 the intermediary shall ensure the maintenance and preservation of records and reporting of information relating to cash, incidents of money laundering and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi. Hence, the investors should ensure that the amount invested in the securities and represented as credit in their demat account is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the income Tax Act, Prevention of Money Laundering Act, Prevention of Corruption Act and/or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

Please note that, to ensure appropriate identification of the customer(s) under its KYC policy and with a view to monitor its transactions, TFSPL DP reserves the right to seek information, record customers telephonic call and/or obtain and retain documentation for establishing the identity of the customer, proof of residence, source of funds, etc. It may re-verify identity, seek and obtain any incomplete or additional information for this purpose.

<b>F13</b>			
Signatures		First/sole Holder	
			Second joint Holder
			
			Third joint Holder

**NOMINATION FORM (For Trading & Demat)**

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.  
 I / We wish to 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	
Regn.No.	
Date	

Nominee Details	Nominee 1	Nominee 2	Nominee 3
*First Name			
Middle Name			
*Last Name			
*Address			
*City			
*State			
*Country			
Phone / Email			
PAN			
Aadhaar			
*Relationship with BO			
Date of Birth ( *if Nominee is Minor)			
Name of the Guardian of Nominee (*if Nominee Is Minor)			
*First Name			
Middle Name			
*Last Name			
*Address			
*City			
*State			
*Country			
Phone / Email			
PAN			
Aadhaar			
*Relationship with Nominee			
Guardian Signatures			
*Percentage of allocation of Securites			
*Residual Securities (Please tick any One Nominee if not Ticked, default will be 1st nominee)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note : Residual securities: in case of multiple nominees, please choose any one who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. if you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares if any.

**\* Marked is Mandatory Field**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Witness	First Witness	Second Witness
Name		
Address		
Signature	<b>W1</b>	<b>W2</b>

I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

<b>F14</b>			
Signatures	 First/sole Holder	 Second joint Holder	 Third joint Holder

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

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

### POWER OF ATTORNEY (VOLUNTARY)

KNOW ALL MEN BY THESE PRESENTS THAT I/WE Mr. / Mrs. / M/s(first holder) \_\_\_\_\_  
 \_\_\_\_\_ (Second holder) \_\_\_\_\_

(Third holder) \_\_\_\_\_ an Individual/ a sole proprietary concern /a partnership firm /a body Corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act , 1932/the Companies Act 1956 or any relevant Act, having his/her/its residence/registered office/place of business at \_\_\_\_\_

( hereinafter referred to as “ Beneficial Owner ”) wish to avail / have availed the broking/ E-broking facilities and other services offered (hereinafter referred to as “ Services ”), by Tradejini Financial Services Pvt Ltd (hereinafter referred to as “TRADEJINI”) company incorporated under the Companies Act 1956 and having its Corporate office at “Vasavi square” No. 75/757, 10<sup>th</sup> Main, 4<sup>th</sup> block, Jayanagar, Bangalore-560011 ” and is a Member (Trading Member) of The National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Limited (BSE), Multi Commodity Exchange of India (MCX) and Metropolitan Stock Exchange of India Ltd (MSEI) respectively (hereinafter referred to as “the Exchange”) and is also a “Depository Participant” registered with Central Depository Services of India Ltd (CDSL).



Whereas in the course of availing the services and for meeting the settlement obligation thereof on the Exchanges, I/We do hereby nominate, Constitute and appoint M/s. Tradejini Financial Services Pvt Ltd (Member Broker), Hereinafter referred to as “TRADEJINI” acting through their Directors and/or duly authorised staff for the purpose, as my/our true and lawful attorneys for my depository account with Tradejini Financial Services Pvt Ltd (Depository Participant) DP ID **12076500 Client ID :** \_\_\_\_\_ to execute and perform severally the following acts, deeds, matters and things, provided the attorney complies with all applicable conditions of all or any of their services offered by them in their capacity as stock Brokers.

1. To have and exercise the powers and /or authority, to do and /or execute the acts, deeds matters and things specified in agreements between TRADEJINI and the Beneficial Owner as may be applicable in relation to the transactions executed by the client.
2. To operate depository account/(s) for the purpose of transferring any collateral to the margin account and honouring delivery obligations for any transactions executed with TRADEJINI which is registered as a Depository Participant and a Stock Broker with Securities and Exchange Board of India(SEBI).
3. To Sign instruction on my behalf with respect to debit / credit transactions in my depository account/(s) for the credit or benefit of my/our account with TRADEJINI or for the transactions carried out by me/us with TRADEJINI.
4. To issue instructions relating to executing delivery/receipt instructions, pledge creation instructions, pledge closure instructions, lending and borrowing instructions or to operate the depository account by issue and receipt of instructions for the above mentioned purpose and such other authorization given by me/us severally on behalf of all of us, or all/any of us jointly, in any electronic form, in any format and at any time either through the portal of TRADEJINI or through the internet will be validly constituted attorney to intimate the same to the Depository participant for the purposes of debiting or crediting my account opened with the Depository Participant.
5. To validate on my/our behalf any such instruction so given to the Depository Participant(s), in written / physical or other form as may be required by the concerned depository participant.

Third joint Holder
Second joint Holder
First/sole Holder
Signatures

<b>F15</b>			
Signatures	 First/sole Holder	 Second joint Holder	 Third joint Holder

6. For these purposes and to this extent, TRADEJINI is empowered by me/us, to affix their signatures to any document, form or any other record, being a depository participant , as required by the concerned depository.
7. I/We also undertake to pay such demat charges/fees and such other charges incurred by TRADEJINI under this power of attorney and that I/We further authorise TRADEJINI to debit my/our account with TRADEJINI with the said charges as and when the same becomes due for payment and I/we hereby undertake to pay the same immediately on demand made by TRADEJINI.
8. To register this Power of Attorney with the Depository Participant and / or with any other party concerned as is required within the parameters of this Power of Attorney.
9. To sign all applications, apply for, subscribe to or enter into correspondence with respect to any Initial Public offers/ Offers for sale of Securities of the companies / Units of Mutual Fund, Asset Management company or any other "Investment products" offered through the website www.tradejini.com (owned by Tradejini Financial Services Pvt Ltd) or any other means as per instructions made available to them by me/us as on the website or otherwise.
10. To make payment to any party with respect to the aforesaid products mentioned in point 9 above on my/our behalf to fulfil the transactions requested by me/us.
11. To enter into correspondence with any party with respect to any transaction in any Investment Products.
12. To forward all such applications placed through the website to the-online IPO module of the concerned Exchange or owner / issuer of "Investment Product".
13. To receive intimation from the Exchange and any other party regarding the allocation / allotment / rejection / regret of the securities or such other "Investment Product" applications / subscriptions / withdrawal or any other communications.
14. To authorize TRADEJINI to invest on behalf of me/us and to hold the mutual fund/ asset management company(ies) based on the request given by me/us. I confirm not to hold such mutual fund/asset management company / TRADEJINI liable for any transaction processed based on my/our request to correspond with and give notice to the corresponding asset management company / body corporate(s) / issuer / registrar and transfer agent of securities including giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated pursuant to the authorization given by me/us to TRADEJINI in this regard.
15. To deposit/ transfer on allotment, the securities, debentures, units of the mutual funds and/or all other investment products applied through TRADEJINI, on allotment, to my/our Beneficial Owner Demat Account opened for the purpose with the TRADEJINI-DP.
16. To do all other acts and things as may be necessary to affect the subscription/purchase / redemption or any other transaction in any investment Product for which services are availed from TRADEJINI.
17. To debit my Trading account towards monies/fees/charges etc. payable to TRADEJINI or to a Third party Service provider or to any of the affiliates/subsidiaries of TRADEJINI by virtue of I/We using /subscribing to any of the facilities/service provided either by TRADEJINI or through a third party service provider or by any other security or financial instrument on behalf of me/us through TRADEJINI or any third party. To bind ourselves with respect to any instruction given by first holder or any other holder to TRADEJINI.
18. In case of any erroneous transfer done by attorney, the attorney may return the same to my account as soon it comes to their notice.
19. To authorize TRADEJINI to transfer the securities to any of the demat accounts of TRADEJINI as mentioned in **Annexure A**
20. We the joint holders of demat account agree, ratify and confirm to bind ourselves to any instructions given by the client herein above mentioned who shall be the exclusive beneficiary of the transactions carried out pursuant to this power of attorney in favour of the Director/(s) and/or the Authorised Signatories, who have in token thereof, subscribed their signature thereto.

<b>F17</b>			
Signatures	First/sole Holder	Second joint Holder	Third joint Holder

That the power of Attorney herein referred to is revocable at any time without notice subject to such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA.

That, I/We hereby declare that all the actions taken by my/our above mentioned attorney (herein TRADEJINI) in this regards shall be deemed to be action done by me/us and if necessary shall be ratified by me/us on the instruction of the said attorney and that such actions will be binding on me/us.

This document shall be subject to the jurisdiction of the courts in Bangalore.

In witness whereof I/We have executed this revocable Power of Attorney on the day, date and year herein below mentioned.

**ANNEXURE-A**

PARTICULARS	DP ID	CLIENT ID	PARTICULARS	DP ID	CLIENT ID
CDSL CLIENT BEN A/C	12076500	00000256	CDSL NSE EARLY PAY-IN A/C	11000011	00019021
CDSL MSEI POOL A/C	12076500	00000275	CDSL BSE EARLY PAY-IN A/C	11000010	00023118
CDSL BSE PRINCIPAL A/C	12076500	00000281	NSDL BSE POOL A/C	IN300095	11647321
CDSL NSE POOL A/C	12076500	00000300	NSDL MSEI POOL A/C	IN300095	11653196
CDSL CLIENT MARGIN A/C	12076500	00000617	NSDL NSE POOL A/C	IN300095	11636511
CDSL MSEI EARLY PAY-IN A/C	11000028	00001777			

Dated at Bangalore on this \_\_\_\_\_ day of \_\_\_\_\_

SIGNED AND DELIVERED

by the within named the Beneficial Owner

<b>F18</b>			
Signatures	 First/Sole Holder	 Second joint Holder	 Third joint Holder

Witness 1 :

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

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

Signature : \_\_\_\_\_

Witness 2 :

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

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

Signature : \_\_\_\_\_

SIGNED AND DELIVERED by the within named Participant Tradejini Financial Services Pvt Ltd .  
 by the hand of its authorized representative: **For Tradejini Financial Services Pvt Ltd**

**Authorised Signatory**

**FOR INDIVIDUALS/HUF/CORPORATES**

Details		POA Clients
Stamp charges payable upfront		Rs.50/-
<b>Annual Maintenance Charges : (Payable Upfront) and subsequently through ECS / Cheque</b>		
a.	Individuals / Non Individual (except Corporate)	Rs.300/- + GST
b.	Non Individual - Corporate	Rs.300/- +Rs.500/- (CDSL Charges) + GST
<b>Life Time Maintenance Charges : (Payable Upfront)</b>		
a.	Individuals/Non Individual (except Corporate)	Rs.1999/- + GST - (1900/- non refundable - Rs. 99/- Refundable)
<b>Transaction Charges : (Market Trades)</b>		
a.	Buy(Receive)	Nil
b.	Sell (Debit)	Rs.9/- +Rs. 5.50/- (CDSL Charges)
<b>Transaction Charges : (Off - Market Trades)</b>		
a.	Buy(Receive)	Nil
b.	Sell(Debit)	0.03% or Rs.25/- whichever is higher per ISIN
<b>Demat (Per certificate)</b>		Rs.10/- (Subject to minimum of Rs. 25/-) per ISIN
<b>Remat (Per certificate)</b>		Rs.15/- (Subject to minimum of Rs. 50/-) per ISIN+ CDSL Charges
Courier charges per Demat / Remat / Demat Rejection		Rs.50/-
Pledge Request		Rs.20/- +Rs.12 per request(CDSL Charges)
Unpledge Request		Rs.20/- +Rs.12 per request(CDSL Charges)
Pledge Invocation		Rs.20/-
<b>Periodic Statement</b>		
a.	By Email	Free
b.	Physical	Rs.50/- (Courier Charges)
<b>Adhoc / Non Periodic Statement Requests</b>		
a.	By Email	Rs.10/- per request
b.	Physical	Rs.50/- per request upto 10 pages. Every additional page at Rs.5+ Rs.50/- (Courier)
<b>Delivery Instruction</b>		
a.	First Delivery Instruction Book	Free (10 Leaves)
b.	Every Addl Booklet (10 Leaves)	Rs.100/-
Cheque Bounce Charges		Rs.350/-
Failed Transactions		Rs.50 per ISIN
Modification in CML		Rs.25/- per request
KRA Upload /Download		Rs.50/-

**Note :**

For all purposes the bill date shall be construed as the date of demand and the bill will be considered as the bill cum Notice for payment and Tradejini Financial Services Pvt Ltd reserves the right to Freeze Depository account for debit transactions in case of non payment of charges after two days from the bill date.

Interest @18% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any will be intimated 30 days in advance. GST or any other statutory levies will be applicable on all above charges except stamp charges.

<b>F19</b>			
Signatures	 First/sole Holder	 Second joint Holder	 Third joint Holder

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



**OPTION FORM FOR ISSUE OF DIS (VOLUNTARY)**

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

DP ID	12076500	Client ID	
-------	----------	-----------	--

To,  
Tradejini Financial Services Pvt Ltd, Bangalore




Dear Sir,  
I/We hereby state that: [select one option given below]

**OPTION 1:**  I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / We have issued a power of Attorney (POA) in favour of Tradejini Financial Services Pvt Ltd for executing delivery instructions for settling Stock Exchange trades [Settlement related transactions] effected through such Clearing Member.

OR

**OPTION 2:**  I/We do not require the Delivery Instruction Slip (DIS) for the time being, Since I/We have issued a POA in favour of Tradejini Financial Services Pvt Ltd for executing the delivery instructions for settling stock exchange trades [settlement related transaction] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

Name	First/sole Holder	Second joint Holder	Third joint Holder
<b>F20</b>			
Signatures	 First/sole Holder	 Second joint Holder	 Third joint Holder

**REQUEST LETTER FOR REGISTRATION OF MOBILE NO / EMAIL ID OF PERSON BELONGING TO THE CLIENT'S FAMILY (OPTIONAL)**

Please note that the mobile no / email id / both mentioned in the Account opening form / request for change in mobile no / email id belongs to Mr/Mrs./Ms. \_\_\_\_\_ who is my \_\_\_\_\_ [relationship with the client]. I request you to register the same for my trading & demat account with you.




\*[Only the mobile no./email id of your spouse, dependent children and dependent parents can be registered in your demat account]

<b>F21</b>			
Signatures	 First/sole Holder	 Second joint Holder	 Third joint Holder

**MOBILE NO / EMAIL ID DECLARATION VOLUNTARY**

I Mr/Mrs./Ms. \_\_\_\_\_ having Mobile No. & Email ID as mentioned in contact details of P-3 hereby provide consent / authorization for using the same by TFSPL to provide Information/Alerts/SMS /Calls to me.

I further declare the above mentioned statement is true & correct.

<b>F22</b>			
Signatures	 First/sole Holder	 Second joint Holder	 Third joint Holder

**AUTHORIZATION FOR ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (VOLUNTARY) - Appendix A**

 To ,  
 TRADEJINI FINANCIAL SERVICES PVT. LTD.BANGALORE.

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

**Sub: Authorization for Electronic Contract Notes & Acceptance for Electronic Communication:**

Dear Sir,

I/We \_\_\_\_\_ a client with Member Tradejini Financial Services Pvt Ltd of NSE/BSE/MCX/MSEI undertake as follows:

1. I/we am/are aware that the member has to provide physical contract note in respect of all the trades placed by me/us unless I/ we myself/ourself want the same in Electronic Form.
2. I/we am/are aware that the member has to provide Electronic contract note for my convenience on my/our request only.
3. Though the member is required to deliver physical contract note, I/we find that it is inconvenient for me/us to receive physical contract notes. Therefore I/we am/are voluntarily requesting for delivery of electronic contract notes pertaining to all the trades carried out/ ordered by me/us.
4. I/we have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
5. My/Our Email Id is \* \_\_\_\_\_. This ID has been created by me/us and not by someone else.
6. I/we am/are aware that this declaration form should be in English or in any other Indian language known to me.
7. I/we am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above E-mail ID.
8. I/We hereby opt to receive Scanned KYC Form, Statement of Account/ Securities, Quarterly Retention Reports, Daily Margin Statement, DP Bills/ DP Transaction & Holding Statement and any other Communication also in Electronic Form.
9. I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.
10. I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever. I/We understand that I/we am/are required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me/us either through a physical letter to you, or through a secured access using client specific user id and password. 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.

(The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us. I/we am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same)

\*(The email id must be written in own hand writing of the client)

Client Name : \_\_\_\_\_ Address: \_\_\_\_\_

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

 Unique Client Code :       \_\_\_\_\_

**F23**


Client Signature

Verification of the client signature done by: \_\_\_\_\_ Date: \_\_\_ / \_\_\_ / \_\_\_\_\_ Place: \_\_\_\_\_

## UNDERTAKING / AUTHORISATION (VOLUNTARY)

To,  
TRADEJINI FINANCIAL SERVICES PVT LTD, BANGALORE.

With respect to Member-Constituent Relationship and Mandatory and Voluntary (optional) Documents executed between us, I / We do here by authorize Tradejini Financial Services Pvt Ltd (TFSP) to do the following:

### 1. ORDER PLACEMENT INSTRUCTIONS

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

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

In case of cover order (primary order with compulsory stop loss order as second leg) there is a risk of non execution of stop loss order due to wild fluctuation or due to exchange action. The broker will not be responsible in such case.

In case of Bracket Order (Primary order is coupled with Target Price order and Compulsory Stop loss Market order) there is risk of non execution of target / stop loss order due to wild fluctuation or due to exchange action. Tradejini will not be responsible for such cases.

### 2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances TFSP shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by TFSP.

### 3. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI / Exchanges. In case I am found to be indulging in such activities, TFSP has every right to inform the Exchanges/SEBI/other regulatory authority of the same and suspend /close my trading account.

### 4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through TFSP to obtain a sub broker registration. In case TFSP perceives that I am acting as an unregistered sub broker, TFSP has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to TFSP without the requirement of any notice from TFSP. Further, TFSP has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify TFSP from any loss/damage/ claim arising out of such activity.

### 5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/or Statutory authority to deal in securities directly or indirectly. I agree to inform TFSP, in writing of any regulatory action taken by any Exchange or Regulatory/ Statutory authority on me in future. In case I fail to inform the same and TFSP on its own comes to know of such action, TFSP has the right to suspend/close my trading account and refuse to deal with me. Also, TFSP can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

### 6. PMLA DECLARATION

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

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

### 7. INDEMNIFICATION

- a. I hereby indemnify and hold TFSP, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the TFSP directly or indirectly, relating to bad delivery of shares/ securities and/or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/securities/transfer documents introduced or that may be introduced by or through me during the

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Client Signature

course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

- b. **INDEMNITY OF JOINT HOLDINGS:** I hereby agree to indemnify and hold the TFSPL harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and / or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

### **8. MUTUAL FUND SERVICE - NSE / BSE**

I am interested in availing the Mutual Fund Service facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the Mutual Fund Service of the Exchanges. For the purpose of availing the Mutual Fund Service facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of Mutual Fund Service and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I 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 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 choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me. Further it is to be specifically noted that such service is not protected by Investor Protection Fund or from any fund of Exchange / Clearing corporation.

### **9. NRI DECLARATION**

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to TFSPL every time the investment is made.

### **10. THIRD-PARTY PAYMENTS**

TFSPL shall refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along-with adequate proof thereof as per proforma prescribed by TFSPL. TFSPL shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above. However, due to oversight, if any such third-party payment has been accepted by TFSPL and the credit for the same has been given in the client's ledger, TFSPL shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, TFSPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. TFSPL, its Directors and employees shall not be responsible for any consequential damages or losses.

### **11. NO DEALINGS IN CASH**

TFSPL as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/Remisier/Employee/Authorised Person of TFSPL.

### **12. DISCLOSURE OF PROPRIETARY TRADING BY TFSPL**

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, TFSPL discloses to its clients about its policies on proprietary trades. TFSPL does proprietary trades in the cash and derivatives segment at NSE, BSE, MCX and MSEI.


### **13. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS**

The Client shall settle all transactions, within the Exchange specified Settlement time, by making requisite payment of funds and/or Delivery of Securities / Commodities. In case the client fails to settle the transactions within the settlement date then TFSPL has the right to square off the Open position and/or unpaid positions at an appropriate time as it deems fit, without any notice to the client. In case the client fails to deliver Securities /Commodities sold by him within the specified settlement time such shortage will be closed out at an auction price or closing price as per exchange process for such shortages along with penalties as levied by the Exchanges. The client shall not have any right or say to decide on the timing of closure of the open position that needs to be closed. TFSPL, its Directors and Employees shall not be responsible for any loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of TFSPL.

After such square off of open positions by TFSPL, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However if the client does not clear off the debit balance, TFSPL shall have the right to liquidate the Securities/Commodities of the client (kept as collateral /margin) to the extent of the Debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of Securities / Commodities held in collateral / margin and the Securities / Commodities that needs to be sold or liquidated. TFSPL, its Directors and Employees shall not be responsible for any loss or damages arising out of such selling.

All Intraday positions will be subject to square off if your losses exceed 50% of the available funds in your account, No margin call will be given for the same.

100 % Exchange prescribed margin limits apply for all Carry Forward Contracts of Futures / Options / Currency / Commodity– In case of any Shortage of funds, Tradejini reserves the right to square off such positions, No margin call will be given by TFSPL.

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#### 14. INTERNAL SHORTAGE

The client may not receive shares on T+2 in case there is an internal shortage situation with TFSPPL i.e. the buyer and seller are both TFSPPL clients and the seller defaults in delivery due to which the buyer may not receive the shares. In such cases, on T+2 EOD, the seller would be debited at the highest price traded between Trade day to payin / payout day and the buyer would be credited the same as auction credit.

#### 15. DELAYED PAYMENT CHARGES

I/We understand that in case my account is in Debit balance or there is insufficient funds to cover my trading position, TFSPPL will levy Penal charges @ 20% p.a. + GST for such delay till such Debit balance is paid. I confirm having read the rules & regulations pertaining to this levy under the policy & procedures documents of TFSPPL.

#### 16. RISK OF IN THE MONEY OPTION HOLDER ON EXPIRY DAY / DO NOT EXERCISE

Buyer of In The Money Option (ITM) left open for Expiry without squaring up the position on expiry day has to pay STT (Securities Transaction Tax) on Contract Value ((Strike +Premium) \* quantity ) instead of only on Premium. The same may occur in the following 2 cases :

- 1) In case of ITM Call options settlement price of the underlying is higher than the strike price
- 2) In case of ITM Put options settlement price of the underlying is lower than strike price

As the STT payable generally is much higher than the options premium received for the above contracts it is advisable to close all such positions before the market closure. I therefore authorise TFSPPL to close any such positions on my behalf in case I am unable to close the same due to unforeseen circumstances. I will not hold TFSPPL responsible for any loss or damages on account of such closure of positions which is primarily to safeguard my interest.

Further NSE has introduced a process wherein a broker can opt to instruct the exchange to "Do not exercise" close-to-the-money Option Contract, wherein the applicable STT is more than the premium receivable on exchange exercise.

Accordingly with a view to safeguard clients from unwanted debits due to Excessive STT - we at TFSPPL will be opting for "Do not exercise" for all open option positions if the STT is more than premium. Other than close-to-the-money options, exchange will exercise/expire as per current process.

#### 17. AUTHORISATION FOR COMMUNICATION OF FINANCIAL PRODUCTS:

I/We have opened an account with you and am/are interested in knowing about other financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which TFSPPL, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute: through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to do so inform and you or they may, in their discretion, discontinue sending such information.

I/We can revoke any or all of the above authorizations at any time in writing. Any change in any of the above voluntary/non-mandatory clauses will have to be preceded by a notice of 15days. The Member and the Client understand that none of the above voluntary/non-mandatory clause is in contravention with the Rules/Business Rules/Notices/Circulars of Exchanges or SEBI. If any of the above clauses or part thereof is found to be or becomes in such contravention, it shall be of no effect to the extent of contravention.

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Client Signature	

**RUNNING ACCOUNT AUTHORIZATION (VOLUNTARY)**

 To,  
 TRADEJINI FINANCIAL SERVICES PVT LTD

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

I/We are dealing through you as a client in NSE, BSE, MCX & MSEI in order to facilitate ease of operations and up front requirement of Margin for trade. I/We authorize you as under:

- I/We request you to maintain running balance in my account & retain the credit balance in any of my / our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
- I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment of any or all the Exchange(s)/Clearing corporation unless I/We instruct you to transfer the same to my/our designated Demat A/c.
- I/We request you to settle my fund and securities account
  - Once in a calendar Month  Once in every calendar Quarter
  - (except the funds given towards collaterals / margin in form of Bank Guarantee and/or Fixed Deposit Receipt)
- I/We may also ask you from time to time to furnish the shares as collateral for trading in NSE/BSE/MCX/MSEI to you and /or clearing member for trading on derivative segment. The transfer and / or pledge charges in that respect may also be debited to my / our ledger.
- I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your corporate office and agree that you shall not be liable for any incidental loss/damage caused due to retention of funds and/or securities.
- I/We hereby authorise you to hold funds / securities as prescribed by SEBI / Exchanges during the Monthly/Quarterly settlement of funds and securities in terms of funds / securities to be held and margins that can be held for future requirements Namely.
  - All accounts with credit balances of Rs. 10000/- or lesser shall be automatically retained and transfer of funds to the bank account shall not be made as per SEBI circular MIRSD/SE/Cir-19/2009 & Exchange Circular Nos. NSE/INSP/24849 & BSE: 20131029-15.
  - In case client is active only in Commodity Segment such accounts with credit balances of Rs. 50000/- or lesser may be automatically retained and transfer of funds to the bank account may not be made as per SEBI circular MIRSD/SE/Cir-19/2009 & Exchange Circular Nos. MCX/INSP/325/2016.
- I/We confirm you that I can revoke the above mentioned authority at any time and would continue until such revocation .

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Client Signature

**P-19**

<b>HDFC BANK</b> <small>एन सी एफ सी बैंक लिमिटेड. HDFC BANK LIMITED.</small>	UMRN	<input type="text"/>	Date	<input type="text"/>
Tick <input checked="" type="checkbox"/>	Sponsor Bank Code	<b>HDFC0000060</b>	Utility Code	<b>HDFC00020000001143</b>
<input checked="" type="checkbox"/> CREATE <input type="checkbox"/> MODIFY <input type="checkbox"/> CANCEL	I/We hereby authorize	<b>TRADEJINI FINANCIAL SERVICES PVT LTD</b>	to debit (tick✓)	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> CC <input type="checkbox"/> SB-NRE <input type="checkbox"/> SB-NRO <input type="checkbox"/> Other
	Bank a/c number	<input type="text"/>		
with Bank	Name of customers bank	IFSC	or MICR	
an amount of Rupees	<b>FIVE HUNDRED ONLY</b>			<b>₹ 500.00</b>
FREQUENCY	<input type="checkbox"/> Mthly <input type="checkbox"/> Qtly <input type="checkbox"/> H-Yrly <input type="checkbox"/> Yrly <input checked="" type="checkbox"/> As & when presented	DEBIT TYPE	<input type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount	
Reference 1	<input type="text"/>	Phone No.	<input type="text"/>	
Reference 2	<input type="text"/>	Email ID	<input type="text"/>	

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	<b>F28</b>	
From	<input type="text"/>	
To	<input type="text"/>	
Or	<input checked="" type="checkbox"/> Until Cancelled	
	Signature Primary Account holder	Signature of Account holder
	Signature of Account holder	Signature of Account holder
	1. Name as in bank records	2. Name as in bank records
		3. Name as in bank records

\* This is to confirm that the declaration has been carefully read, understood and made by me/us. I am authorizing the user entity/corporate to debit my account.  
 \* 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.  
 I/We hereby declare that the above information is true and correct and that the mobile number listed above is registered in my/our name(s) and/or is the number that I/we use in the ordinary course. I/We hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now or subsequent to the date hereof, I/We consent to the Bank communicating to me/us about the transactions carried out in my/our aforesaid account(s).

**KYC CHECKLIST (for office use only)**

Jun - 2019

Form Received Date : \_\_\_\_\_ Introducer Code : \_\_\_\_\_

Client Code : \_\_\_\_\_ Code Creation Date : \_\_\_\_\_

**KRA STATUS**

KRA TYPE	KRA STATUS	DOWNLOAD (YES/NO)	UPLOAD (YES/NO)

**PAN VERIFICATION**

SLNO	IMPORTANT FIELDS	YES/NO	COMMENTS
1	PAN No, Name, DOB as per PAN card submitted		
2	Father's name as per PAN		
3	Self attestation by the applicant		
4	PAN verified seal affixed		

**ADDRESS PROOF**

SLNO	IMPORTANT FIELDS	YES/NO	COMMENTS
1	Specify the address proof submitted ( )		
2	Address as per proof provided		
3	Self attestation by the applicant		

**BANK PROOF**

SLNO	IMPORTANT FIELDS	YES/NO	COMMENTS
1	Cancelled cheque leaf or Bank Statement		
2	MICR/IFSC code, A/c number, name		
3	Self attestation by the applicant		

**INCOME PROOF (for Derivatives)**

SLNO	IMPORTANT FIELDS	YES/NO	COMMENTS
1	Latest 6 months bank statement/latest 3 months salary slip/Latest Form 16 or IT returns/Demat holding with other broker		
2	Self attestation by the applicant		

**NOMINATION & WITNESS**

SLNO	IMPORTANT FIELDS	YES/NO	COMMENTS
1	Witness details if opted for Nomination		

**FORM FILLING AND PROOF  
CHECKED BY**

\_\_\_\_\_

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

**DATA ENTRY CHECKED BY**

\_\_\_\_\_

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

**Third Level Checker**

\_\_\_\_\_

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

**Fourth Level Checker**

\_\_\_\_\_

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

## CONTACT US

**Visit us** : [www.tradejini.com](http://www.tradejini.com)

**Call us** : **+91 80 4020 4020**

**Mail us** : [help@tradejini.com](mailto:help@tradejini.com)



**Member**

NSE, BSE, MCX, MSEI, MF | Depository Participant : CDSL

### **Tradejini Financial Services Private Limited**

Vasavi Square, No - 75/757, II Floor, 10<sup>th</sup> Main, 4<sup>th</sup> Block, Jayanagar, Bangalore - 560011

**SEBI Regn.Nos.:** INZ000160938 ( NSE BSE MCX MSEI ) | **MF ARN :** 87156 | **CDSL DP :** IN-DP-CDSL-681-2013