



# J V GROUP

Member of NSE - CDSL - MCX - NCDEX

## J V EQUITIES PVT LTD

### ACCOUNT OPENING FORM

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

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

Demat Account No. : 

1	2	0	8	7	6	0	0								
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Scheme : \_\_\_\_\_

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

Information Regarding J V Equities Pvt. Ltd. / Authorized Person	
Authorised Person Code :	_____
Authorised Person Name :	_____
Contact Detail :	_____

UCC DATE	<input type="text"/>	DEMAT DATE	<input type="text"/>
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NSE CASH	<input type="text"/>	MCX	<input type="text"/>
NSE F & O	<input type="text"/>	NCDEX	<input type="text"/>
NSE CDS	<input type="text"/>		

## ATTENTION

Declaration pursuant to National Stock Exchange of India Circular bearing reference No. NSE/INSP/2011/121 dated 22nd August, 2011 and CDSL / OPS / DP / Policy / 2615 dated 23rd August, 2011 read with SEBI circular bearing reference No. Cir/MIRSD/16/2011 dated 22nd August, 2011.

Declaration pursuant to PMLA by SEBI vide its circular ISD/AML/CIR-1/2010 dted 12th February, 2011.

### CASH RECEIPTS & PAYMENTS STRICTLY NOT ALLOWED

Constituents are requested to make payments to "**J V Equities Pvt. Ltd.**" by Cheques / Account transfers.

In case Demand Drafts / Pay-Orders, contituent to substantiate that the same is drawn favoring **J V Equities Pvt. Ltd.** with his / her / their permission and knowledge. If the aggregate value of prefunded instrument i.e. Demand Draft / Pay order / Bankers cheque etc. is above ₹ 50,000/- then the client needs to submit as follow : (1) Certificate from the issuing bank on its letterhead or on a plain paper with the seal of the issuing bank. (2) Certified copy of the requisition slip (portion which is retained by the bank) to issue the instrument. (3) Certified copy of the passbook / bank statement for the account debited to issue the instrument. (4) Authentication of the bank account number debited and name of the account holder of the issuing bank on the reverse of the instrument.

Professional Clearing Member NSE - F & O NSE - CD <b>ICICI BANK LTD.</b> Institutional Trading Cum Clearing Member MCX Strategic Trading Cum Clearing Members NCDEX <b>GLOBE COMMODITIES LTD.</b>	J V Equities Pvt. Ltd. (JVEPL) NSE REG. No. 90104 SEBI Regn. Nos. :- NSE Cash (CM) NSE Derivatives (F&O) NSE Currency Derivatives (CD) MCX REG No. 56770 NCDEX REG No. 01284 CDSL DP	} INZ 000100131 IN-DP-397-2019	Dt. 17.01.2017 Dt. 22.01.2019
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(This information is the sole property of **J V Equities Pvt. Ltd.** and would not be disclosed to anyone unless required by law or except with express permission of client)

Director / Compliance Officer Name	Mr. Paresh A. Kotak	
Tel No. : 0281 - 616 9999	Mob No. : 98245 09090	Email id: paresh.kotak@jvgroups.com

For any grievance / dispute please contact **J V Equities Pvt. Ltd. (JVEPL)** at the above address or email id - Email id: grievance@jvgroups.com and Tel. No. 0281 - 61699911. In case not satisfied with the response, please contact the concerned exchange(s). For NSE- ignse@nse.co.in or 022-26598190, For MCX - grievance@mcxindia.com or 022-66494070, For NCDEX - ig@ncdex.com or 022-66406789, For CDSL - complaints@cdslindia.com or 022-22723333

We do proprietary Trading

## ACKNOWLEDGEMENT / INDEX

To,  
**J V Equities Pvt. Ltd.**  
 201, Solitaire, Nr. Rajkot Municipal Commissioner Bungalow,  
 Ramkrishnanagar Main Road, Rajkot - 360002

Dear Sir,

This has reference to necessary Know Your Client Form containing basic information, additional information and other documents executed by me. I hereby acknowledge receipt of following documents from you:-

### KNOW YOUR CLIENT (KYC) APPLICATION FORM INDEX - PART-A

Sr.No.	Name of the Document	Brief Significance of the Documents	Pg. No.
1.	KYC (Account Opening Application Form	A. KYC Form - Document captures basic information about the constituent (for Individuals) B. Document captures the additional information of the constituent relevant to trading account (for non -Individuals)	7-12
2.	Demat/Trading Account Details and Brokerage Tariff Details	Details of Constituent pertaining to bank account / Depository / Past actions. Document detailing the rate/amount of brokerage and other charges levied on the constituent for trading on the Stock Exchange(S)	13-21
3.	BO Nomination Form	Details pertaining to Beneficiary Owner	22-23
4.	Power of Attorney	POA to nominate, constitute and appoint Member for DP operations, pledging with clearing corporation etc.	24-26
5.	Schedule of Charges (BO Account)	Tariff details pertaining to BO Account	27
6.	FATCA Individual/Non-Individual	Account opening form supplement	28-30
7.	Declaration By HUF	Declaration for operating Beneficiary Account (by Karta/HUF)	31
8.	Running Account Authorization	Authorization letter to maintain constituents account on Running Account basis.	32-34
9.	Client Declaration for open interest position & Consent for Electronic Contract Note (ECN)	Client Declaration for open interest position & Consent for Electronic Contract Note (ECN)	35
10.	Authority Letter to retain fund as running account	For operational efficiency and client convenience, this authorization is required to maintain the client account for the funds on running account basis.	36
11.	Rights and Obligations of Member, Authorised Person and Clients - Additional Clauses	Documents containing Additional Clauses to the Mandatory Document stating Rights and Obligations of Member, Authorised Person and Client	37-38
12.	Automated clearing house (ACH)	Automated clearing house (ACH) - Direct Debit Declaration	40

### MANDATORY & NON-MANDATORY DOCUMENTS THAT FORM A PART OF THE FORM CONTAIN IN A SEPARATE BOOKLET INDEX - PART-B

#### FOR EQUITY & DERIVATIVES

S.No.	Particulars (Mandatory as prescribed by Exchange)	Page Nos.
1.	Documents containing mandatory Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	2-4
2.	Documents containing voluntary Rights & Obligations of stock broker, sub-broker and client forming part of documents as mentioned in clause 1 above.	5-8
3.	Internet & wireless technology based trading facility provided by stock brokers to client	9
4.	Risk Disclosure Documents.	10-13
5.	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	14-15
6.	Policy and Procedures document. (as prescribed by Member Broker)	16-20

### Mandatory Documents as Prescribed by Commodity Exchange

For Commodity

S.No.	Particulars (Mandatory as prescribed by Exchange)	Page Nos.
1.	Uniform Risk Disclosure Document (RDD) - Document detailing risks associated with dealing in the commodities market.	1-4
2.	Rights and Obligations of Members, Authorized Persons and Clients - Document stating the rights & obligations of member, authorized person and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading)	5-10
3.	Internet & wireless technology based trading facility provided by members to client	11
4.	Do's and don'ts for the Investors - Documents detailing do's and don't for trading on exchange, for the education of the investors	12-13
5.	Policies & Procedure - Policies & Procedure for commodities.	14-15

### Particulars (Voluntary as prescribed by Member Broker) INDEX - PART-C

Sr.No.	Particulars (Voluntary as prescribed by Member Broker)	Page Nos.
1.	Containing Clause Voluntary documents pertaining to non-mandatory documentation and tariff sheet duly signed by me.	21-24

I state that I have read and understood all above documents and these documents are binding upon me.  
Thanking you,

Signature **1**



\_\_\_\_\_  
Sole/First Holder

\_\_\_\_\_  
Second Holder

\_\_\_\_\_  
Third Holder

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS :

1. Self attested copy of PAN card is mandatory for all clients, including Promoters / Partners / Karta / Trustees and whole time directors and persons authorized to deal in commodities on behalf of company / firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a regional language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to FIPB / RBI and FEMA guidelines and other applicable statutory approvals), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted along with other statutory approvals required for investment in commodities.
10. For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the school Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate Must be Provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, Senior Politicians, Senior Government / judicial / military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI): List of documents admissible as Proof of Identity

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).

2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA)

List of documents admissible as Proof of Address:

(\*Documents having an expiry date should be valid on the date of submission.)

1. Unique Identification Number (UID) (Aadhaar)Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts
5. 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.
6. 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.
7. 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.
8. 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.)

1. In case of transactions undertaken on behalf of

Central Government and/or State Government and by official appointed by Courts e.g. Official liquidator, Court receiver etc.

2. Investors residing in the state of Sikkim. (Subject to continued exemption granted by Government).
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/-p.a.
5. In case of institutional clients, namely FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and 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**

1. 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).
2. 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. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in commodity market.</li> <li>• Copy of Board Resolution or declaration (on the letter head) naming the persons authorized to deal in commodity derivatives on behalf of company / firm / others and their specimen signatures.</li> </ul>
Partnership firm	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> <li>• Copy of partnership deed.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only).</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Copy of Trust deed.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>• Deed of declaration of HUF and List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• PAN of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>• Copy of the Constitution/registration of annual Report/Balance sheet of the last 2 Financial Years</li> <li>• Authorized Signatories list with Specimen Signatures</li> </ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate</li> <li>• Authorized Signatories list with Specimen Signatures</li> </ul>
Army / Government Bodies	<ul style="list-style-type: none"> <li>• Authorized signatories list with specimen signatures.</li> <li>• Self-certification on letterhead.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

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

Copy of ITR Acknowledgement	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.

**H.** \*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.

**I.** Demat master or recent holding statement issued by DP bearing name of the client.

**J. For Individuals:**

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. 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 / Consulate General in the country where the client resides may be permitted.

**k. For Non-Individuals:**

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.



# J V EQUITIES PVT. LTD.

201, Solitaire, Nr. Rajkot Municipal Comm. Bungalow, Ramkrishnanagar Main Road, Rajkot - 360002

## CENTRAL KYC REGISTRY | 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 / UT 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 (v) 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 (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
Name (Same as ID Proof)*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (if any)*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father/Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Place of Birth	<input type="text"/>			Country of Birth <input type="text"/>
Gender*	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender			<input type="checkbox"/> <input type="checkbox"/>
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Nationality*	<input type="checkbox"/> Indian <input type="checkbox"/> Other (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*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Sector Service )			
	<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			
PAN	<input type="text"/>			UID (Aadhaar) <input type="text"/>

Please affix the recent passport size photograph

2 Signature / Thumb Impression

### 2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

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

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent {If issued by jurisdiction}\*

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

### PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

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

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Date of Birth*	<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"/>	Identification Number	<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"/>		



**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/mail address.

Date :   /   /

Place :

<b>3</b>	Signature / Thumb Impression of Applicant
----------	-------------------------------------------

**IN PERSON VERIFICATION DONE BY**

Sr. No.	particulars	
1	<input type="checkbox"/> Originals verified and Self-Attested Document copies received.	
2	In-Person-Verification (IPV) details	
	a) Name of the person doing IPV/Employee/SB/AP	<input type="text"/>
	b) Designation	<input type="text"/>
	c) Name of Organisation	<input type="text"/>
	d) Signature	<input type="text"/>
	e) Date	<input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>
Name & Signature of the Authorised Signatory		
Date	<input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>	

**9. ATTESTATION / FOR OFFICE USE ONLY****Institution Details**

Documents Received       Certified Copies

Name	J V Equities Pvt. Ltd						
Code	I	N	2	0	4	7	

**KYC VERIFICATION CARRIED OUT BY**

Date   /   /

Emp. Name	<input type="text"/>						
Emp. Code	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Emp. Designation	<input type="text"/>						
Emp. Branch	<input type="text"/>						





# J V EQUITIES PVT. LTD.

201, Solitaire, Nr. Rajkot Municipal Comm. Bungalow, Ramkrishnanagar Main Road, Rajkot - 360002

## KNOW YOUR CLIENT (KYC) APPLICATION FORM - NON-INDIVIDUALS

Please fill this form in English and in block letters

IDENTITY DEATILS																		
Name of the Applicant																		
Date of Incorporation			d	d	/	m	m	/	y	y	y	Place of Incorporation						
Date of commencement of business:									d	d	/	m	m	/	y	y	y	y
PAN																		
Regn. No. (e.g. CIN)																		

**Please affix  
the recent passport  
size photograph**

- |                                              |                                                      |                                                     |                                                |                                                  |                                    |
|----------------------------------------------|------------------------------------------------------|-----------------------------------------------------|------------------------------------------------|--------------------------------------------------|------------------------------------|
| <input type="checkbox"/> Private Limited Co. | <input type="checkbox"/> Public Ltd. Co.             | <input type="checkbox"/> Body Corporate             | <input type="checkbox"/> Partnership           | <input type="checkbox"/> Trust                   | <input type="checkbox"/> Charities |
| <input type="checkbox"/> NGO's               | <input type="checkbox"/> FI                          | <input type="checkbox"/> FI                         | <input type="checkbox"/> HUF                   | <input type="checkbox"/> AOP                     | <input type="checkbox"/> Bank      |
| <input type="checkbox"/> Government Body     | <input type="checkbox"/> Non-Government Organization |                                                     | <input type="checkbox"/> Defense Establishment |                                                  | <input type="checkbox"/> BOI       |
| <input type="checkbox"/> Society             | <input type="checkbox"/> LLP                         | <input type="checkbox"/> Qualified Foreign Investor | <input type="checkbox"/> Mutual Fund           | <input type="checkbox"/> Others (please specify) |                                    |

**ADDRESS DETAILS**

**ADDRESS FOR CORRESPONDENCE:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

City	PIN	State	Country
------	-----	-------	---------

**Registered Address : (If different from Correspondence):**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

City	PIN	State	Country
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**CONTACT DETAILS**

Tel. (Office)	Tel. (Office)
Fax	Mobile
E-mail ID	

Specify the proof submitted for Correspondence Address	Specify the proof submitted for Registered Address
--------------------------------------------------------	----------------------------------------------------

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

Name of Applicant		Pan of Applicant					
Sr. No.	PAN	Name	DIN (For Directors) / DPIN / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> Not a PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not a RPEP	<b>4.1</b>
						<input type="checkbox"/> PEP <input type="checkbox"/> Not a PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not a RPEP	<b>4.2</b>
						<input type="checkbox"/> PEP <input type="checkbox"/> Not a PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not a RPEP	<b>4.3</b>

**4.4**  
Name & Signature of the Authorised Signatory(ies) with stamp

Date :

**PEP** : Politically Exposed Person      **RPEP** : Related to Politically Exposed Person

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

Name of Applicant		Pan of Applicant					Photograph
Sr. No.	PAN	Name	DIN (For Directors) / DPIN / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	
						<input type="checkbox"/> PEP <input type="checkbox"/> Not a PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not a RPEP	4.5
						<input type="checkbox"/> PEP <input type="checkbox"/> Not a PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not a RPEP	4.6
						<input type="checkbox"/> PEP <input type="checkbox"/> Not a PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not a RPEP	4.7

4.8  
 Name & Signature of the Authorised Signatory(ies) with stamp

Date :

PEP : Politically Exposed Person      RPEP : Related to Politically Exposed Person

### 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.

<b>5</b>  Signature / Thumb Impression of Applicant
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Name and Signature of the Authorised Signatory (ies)

Date 

d	d
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 / 

m	m
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 / 

y	y	y	y
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### IN PERSON VERIFICATION DONE BY

Sr. No.	particulars									
1	<input type="checkbox"/> Originals verified and Self-Attested Document copies received.									
2	In-Person-Verification (IPV) details									
a)	Name of the person doing IPV/Employee/SB/AP									
b)	Designation									
c)	Name of Organisation									
d)	Signature									
e)	Date	<table border="1"><tr><td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr></table>	d	d	m	m	y	y	y	y
d	d	m	m	y	y	y	y			
Name & Signature of the Authorised Signatory										
Date		<table border="1"><tr><td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr></table>	d	d	m	m	y	y	y	y
d	d	m	m	y	y	y	y			

### 9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received       Certified Copies

### KYC VERIFICATION CARRIED OUT BY

Date 

d	d
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 / 

m	m
---	---

 / 

y	y	y	y
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Emp. Name							
Emp. Code							
Emp. Designation							
Emp. Branch							



# J V EQUITIES PVT. LTD.

201, Solitaire, Nr. Rajkot Municipal Comm. Bungalow, Ramkrishnanagar Main Road, Rajkot - 360002

## TRADING / DEMAT ACCOUNT RELATED DETAILS

### FUNDS PAYOUT THROUGH NATIONAL ELECTRONIC FUND TRANSFER (NEFT)

I/We \_\_\_\_\_ wish to receive funds payout through NEFT. My bank details are as given below for your records. Request you to release my/our funds payout

Bank Name																										
Bank Address																										
Account Number																										
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (please specify)																									
IFSC Code																MICR Code										

I/We hereby declare that the above mentioned details are correct & J V Equities Pvt. Ltd. or any of the group companies shall not be held responsible for any kind of wrong transfer due to incorrect information given by me/us.

Please provide cancelled cheque leaf for MICR & IFSC Code.

### DEPOSITORY ACCOUNT(S) DETAILS

DP Name															
DP ID															
BO Client ID															
Depository	<input type="checkbox"/> CDSL														
DP Address															

### CCRL ACCOUNT DETAILS

Repository Participant Name : J V EQUITIES PVT. LTD.

RP ID : 12087600

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

Client RP ID : \_\_\_\_\_

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

### COMTRACK ACCOUNT DETAILS

Comtrack Participant Name \_\_\_\_\_ CP ID \_\_\_\_\_

Comtrack Client Name \_\_\_\_\_ Client ID \_\_\_\_\_

1ST Account Holder Name \_\_\_\_\_

2ND Account Holder Name \_\_\_\_\_

3RD Account Holder Name \_\_\_\_\_



**PAST ACTIONS**

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

**DEALINGS THROUGH SUB-BROKERS / AP AND OTHER STOCK BROKERS**

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

Sub-broker's/AP Name:			
Registered office address:	SEBI Regn. No.:		
	Tel.:		
	Fax:		
	Website :		

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

Name of stock broker:			
Name of sub-broker/AP, if any:			
Client Code:			
Exchange:			
details of disputes/dues pending from/to such stock broker/sub- broker:			

**ADDITIONAL DETAILS**

<ul style="list-style-type: none"> <li>Whether you wish to receive physical contract note or Electronic Contract</li> <li>Note(ECN)(please specify)/Statement:</li> </ul>	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
<ul style="list-style-type: none"> <li>Specify your Email id, if applicable: The E-mail Id belongs to :</li> <li>If Family Member, then Relation</li> </ul>	<input type="checkbox"/> Own <input type="checkbox"/> Family Members
<ul style="list-style-type: none"> <li>Whether you wish to receive SMS alert from Stock Exchanges / Stock Broker</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> <li>Detail of Owner of Mobile Number Registered The Mobile Number belongs to :</li> <li>If Family Members, then Relation</li> </ul>	<input type="checkbox"/> Own <input type="checkbox"/> Family Members
<ul style="list-style-type: none"> <li>Family Account Adjustment</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> <li>Pledge Authorization Against Margin Requirement / Outstanding Debit with Clearing Corporation</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> <li>Inter Segment Adjustment</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> <li>Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<ul style="list-style-type: none"> <li>Any other information:</li> </ul>	
<ul style="list-style-type: none"> <li>Number of years of Investment/Trading Experience:</li> </ul>	


**11** Signature / Thumb Impression of Applicant

**INTRODUCER DETAILS**

Name of the Introducer	
Branch / SB / RM / Employee / AP Code	
Status of the Introducer:	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee <input type="checkbox"/> Others, please specify _____
Address and Tel No of the Introducer	
Introducer's Signature	

**OTHER DETAILS****IN CASE OF INDIVIDUAL & NON INDIVIDUAL**

<b>Gross Annual Income details (please specify): Income Range per annum: (₹ in lacs)</b>					
<input type="checkbox"/> Below ₹ 1 Lac	<input type="checkbox"/> ₹ 1 to ₹ 5 Lac	<input type="checkbox"/> ₹ 5 to ₹ 10 Lac	<input type="checkbox"/> ₹ 10 to ₹ 25 Lac		
<input type="checkbox"/> ₹ 25 to ₹ 1 crore	<input type="checkbox"/> Above ₹ 1 crore				
<b>Net-worth as on date</b>	₹	(Net worth should not be older than 1 year)			
<b>Occupation :</b>	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Business	<input type="checkbox"/> Student
	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Other
<b>please tick, if applicable:</b>	<input type="checkbox"/> Politically Exposed Person (PEP)		<input type="checkbox"/> Related to a Politically Exposed Person (PEP)		
<b>Nature of Business :</b>	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Service	<input type="checkbox"/> Trading	<input type="checkbox"/> Consultant	<input type="checkbox"/> Other _____
<b>Risk Categorization :</b>	<input type="checkbox"/> High	<input type="checkbox"/> Medium	<input type="checkbox"/> Low		
<b>Any other information :</b>					

**MCX/NCDEX CATEGORIZATION**

<b>Category</b>	<input type="checkbox"/> Farmers/FPOs	<input type="checkbox"/> Proprietary Traders	<input type="checkbox"/> Foreign participants	<input type="checkbox"/> Hedgers
	<input type="checkbox"/> Value Chain Participants	<input type="checkbox"/> Domestic financial institutional investors	<input type="checkbox"/> Others	

**Declaration Acceptance for Trading Account**

- 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 confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Guidance Note' with 'Policy and Procedures'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, [www.jvgroups.com](http://www.jvgroups.com)

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Signature / Thumb Impression of Applicant

**BROKERAGE TARIFF DETAILS**

Segment		Square / Intra day						Settlement side B		
		Side - A - (Buy)			Side - A - (Sell)					
		Per(%)	Min(%)	Rs./Lot	Per(%)	Min(%)	Rs./Lot	Rs./Lot	Rs./Lot	Rs./Lot
Equity Derivative	F & O									
	Currency									

Segment		Square / Intra day						Settlement side B		
		Side - A - (Buy)			Side - A - (Sell)					
		Per(%)	Min(%)	Rs./Lot	Per(%)	Min(%)	Rs./Lot	Rs./Lot	Rs./Lot	Rs./Lot
Commodity Derivative	Future									
	Options									

Segment		Square / Intra day						Delivery	
		Side - A - (Buy)			Side - A - (Sell)				
		Per(%)	Min(%)	Rs./Lot	Per(%)	Min(%)	Rs./Lot	Percentage	Minimum Percentage
Cash									


Segment	Brok Code	Scheme	Slab Added by	Sign	Slab Verified	Sign
Cash						
F&O						
Currency Derivative						
MCX						
NCDX						

**Note :**

1. The above rates are exclusive of Stamp Duty, Exchange Transaction charges, Securities Transaction Tax, SEBI Turnover Charges and GST which will be charged extra at the rate prevailing from time to time. Further it is exclusive of any other charges /levies that may be imposed from time to time.
2. The General Rates as mentioned here shall be applied unless the Special Rates as may be agreed by the Client and the same are mentioned above.
3. For Internet Based Trading (IBT) clients, additional charges with regard to software access etc. will be applicable as per the terms agreed at relevant point in time.
4. Penalties Levied in the Client by SEBI/ Exchange Shall be Recovered From Client
5. In Case Electronic Contract note mailed is Bounced physical Contract not has to be dispatched an applicable cost to be recovered from Client


**13**  
 Signature / Thumb Impression of Applicant



Standing Instructions		Automatic Credit	
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
Account to be operated through Power of Attorney		<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
/ We would like to share the email ID with RTA		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic (Tick the applicable box. If not marked the default option would be in Physical)			
I / We wish to receive dividend / Interest directly into my bank account through ECS ( If not marked default option would be yes) (ECS is mandatory for location notified by SEBI from time to time)			
SMS Alert Facility	First Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Second Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Third Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2	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		
	<input type="checkbox"/> Yes <input type="checkbox"/> No		
I/We wish to register the following clearing member Ids under my/our below mentioned BOID registered for TRUST			
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID ( Optional)
Easi	To register for easi, please visit our website <a href="http://www.jvgroups.com">www.jvgroups.com</a> EASI allows a BO to view his ISIN balances, transactions and value of the portfolio online		
<b>Clearing Member Details (to Be Filled Up By Clearing Members Only)</b>			
1	Name of Stock Exchange	National Stock Exchange of India Ltd.	
2	Name of Clearing Corporation/Clearing House	NSE Clearing Ltd. (NSCCL)	
3	Clearing Member ID	M52075	
4	SEBI Registration Number	INZ000100131	
5	Trade Name	J V Equities Pvt. Ltd.	
<b>Any other information :</b>			
<b>Please Tick, If Applicable, For Any Of Your Authorized Signatories/promoters/partners/karta/trustees/whole Time Directors:</b>		<input type="checkbox"/> Politically Exposed Person (PEP)	
		<input type="checkbox"/> Related to a Politically Exposed Person	
<b>DECLARATION ACCEPTANCE FOR DEMAT ACCOUNT</b>			
The rules and regulations and Bye laws of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and we agree to abide by and to be bound by the rules, regulations and bye laws as are in force from time to time for such accounts, I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it. In case non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulations. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".			
Sole/First Holder	Name (s) of Holder(s)	Signature(s) of Holder	
Sole/First Holder/ Guardian/ Authorised Signatory (in case sole holder is minor) (Mr./Mrs.)		<div style="border: 1px solid black; padding: 5px;">  </div>	
Second Holder/ Authorised Signatory (Mr./Mrs.)			
Third Holder/ Authorised Signatory (Mr./Mrs.)			

**Mode Of Operations For Sole/First Holder (in Case Of Joint Holdings, All The Holders Must Sign)**

<input type="checkbox"/> Any one singly		<input type="checkbox"/> Jointly by
<input type="checkbox"/> As per resolution		<input type="checkbox"/> Others (please specify)

**Note :**

1. In case of additional signatures, separate annexures should be attached to the application form.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
  - I. Client must ensure the confidentiality of the password of the email account.
  - II. Client must promptly inform the Participant if the email address has changed.
  - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. Strike off whichever is not applicable.

**BO NOMINATION FORM (DEMAT AND TRADING)**

Dear Sir/Madam

- I/We do not wish to nominate any one for this demat account. (In this case, strike off nominee details section and sign)
- I/We nominate the following person who is entitled to receive security balance lying in my/our account, particulars whereof are given below, in the event of the death of sole holder or the death of all the joint holders.

**BO ACCOUNT DETAILS**

DP ID	Client ID
Name of the Sole/First Holder	
Name of Second Holder	
Name of Third Holder	

**NOMINATION DETAILS**




I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account.		Details Of 1st Nominee	Details Of 2nd Nominee	Details Of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)	(First Name)	(First Name)	(First Name)
2	Share of each Nominee <input type="checkbox"/> Equally [If not equally, please specify percentage]			
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
	*Residual Securities [Please tick any one nominee. If tick not marked default will be first Nominee]:	(for CSDL)	(for CSDL)	(for CSDL)
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s)          Pincode			
5	Mobile/Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	PAN No.			
8	Nominee Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

**Sr. No. 9-15 Should be filled only if nominee(s) is a minor:**


9	Date of Birth {in case of minor nominee(s)}			
10	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
11	Address of Guardian(s)          Pincode			
12	Mobile/Telephone no. of Guardian			
13	Email ID of Guardian			
14	Relationship of Guardian with nominee			
15	Nominee Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

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

	FIRST / SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
specimen signatures	 Signature / Thumb Impression of Applicant		

**Note:** Atleast one witness signature (s) / Thumb impression(s) required.

DETAILS OF THE WITNESS	
------------------------	--

	First Witness
Name of Witness	
Address of Witness	
Signature of Witness	

(To be filled by the depository participant)

For J V EQUITIES PVT. LTD

**Nomination accepted and registered vide**

Registration No. : \_\_\_\_\_ dated: \_\_\_\_\_

(Authorised Signatory)

**\* Note :** Residual securities: In case of multiple nominees, please choose any one nominee 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.

**Notes:**

- 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.
- 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.
- 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.
- 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.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- 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.
- 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).
- 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.
- 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.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents,
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.

SPECIFIC POWER OF ATTORNEY & INSTRUCTIONS IN FAVOR OF **J V EQUITIES PVT. LTD.** TO ALL TO WHOM THESE PRESENTS SHALL COME,

I/We the described in the schedule hereto, having his/her/its address at the place mentioned in the schedule hereto (hereinafter referred to as "the Account Holder/Joint Account Holders/Client", which expression shall unless repugnant to the meaning and context thereof be deemed to mean and include his/her/legal heirs, representatives, executors, Successors and assigns, as the case may be) do hereby nominate, constitute and appoint.

**J V Equities Pvt. Ltd.** a company incorporate under the companies act, 1956, and having its registered office at 201, Solitaire, Nr. Rajkot Municipal Commissioner Bungalow, Ramkrishnanagar Main Road, Rajkot - 360002(hereinafter referred to as "JVEPL"/ the Attorney", which expression shall, unless repugnant to the meaning and context thereof be deemed to mean and include its successors) and where DP operations are executed acting through any of its officers or employee or any sub agents or delegates to be my/ our true and lawful Agent and Attorney for me/us and on my/our behalf and in my/our name from time to time to do and exercise or cause to be done and exercised all or cause to be done and exercise all or any of the acts, deeds, powers and authorities as herein mentioned:-

A WHEREAS, the Trading Account Holder (as mentioned in the schedule hereto), wishes to participate in the online/offline trading facilities and/or other services being offered by JVEPL through its portal [www.jvgroups.com](http://www.jvgroups.com) or through any other channel such as Business Associates, Branch, Customer Services, Call Center,etc. (or through any other portal as launched by JVEPL

B AND WHEREAS the Trading Account Holder has entered into Member Client Agreement(s) with JVEPL in connection with availing various services provided/to be provided by JVEPL through its portal [www.jvgroups.com](http://www.jvgroups.com) and/or offline trading platform to the Account Holder through Trading Account No. \_\_\_\_\_ (UCC)

C AND WHEREAS the Demat Accounts mentioned in Annexure – I hereto (or such other demat accounts as

may be determined by me/us from time to time and intimated to JVEPL) of which I/ We am /are the sole/joint holders shall be linked to the above mentioned Trading Account for the purpose of Settlement and margin obligation arising out of trades executed through the said Trading Account.

D AND WHEREAS for efficient functioning of the above mentioned services and to facilitate proper execution of all transactions, I/We am/are desirous of appointing JVEPL as my/our true and lawful Attorney and confer upon it the powers herein after stated.

I/we hereby authorize the attorney to do, exercise & perform all or any of the following acts, deeds and things

1. Transfer Securities held in my/our beneficial owner account(s) as mentioned in Annexure – 1 (as may be modified from time to time by me/us and duly intimated to JVEPL) hereto towards Stock Exchange related margin/delivery obligations arising out of trades executed by me/us on the Stock Exchange through JVEPL.
2. To instruct DP to debit Securities to the said account mentioned in Annexure – 1 (as may be modified from time to time by me/us and duly intimated to JVEPL) and / or transfer securities from the said account to any other account, as mentioned in Annexure - 2 to the extent of shares sold through JVEPL for pay- in obligations as well as for margin towards any Stock Exchange in cash and Derivatives/other segments as may be permitted.
3. To demand receive and give good and effectual receipt(s) and discharge(s) for all or any dividends, interest, bonuses or any other sum(s) and /or income arising from the shares, debentures, units and other investments and to sign and endorse pay orders, dividends/interest warrants or certificates, receive all debts, sum of money, principal, interest, dividend or other dues of whatever nature or accounts which are now or at any time due and payable and belonging to me /us on any account whatsoever.
4. Pledge the securities lying in my/our accounts as mentioned in Annexure – 1 & Annexure – 2(as may be modified from time to time by me/us and intimated to JVEPL) in favor of JVEPL / Financial

Institution for the purpose of meeting my/our margin requirement in connection with the trades executed by me/us on the stock Exchange through JVEPL.

5. Pursuant to my/our instructions or instruction of my/our Authorised representative, to apply for acquiring, subscribing, redeeming, switching between investment products including but not limited to mutual funds, public issues (shares as well as debentures), rights offer of shares tendering in open offers and to sell, transfer and endorse the same or redeem the same or otherwise deal in the securities and or any other investment product pursuant to my instruction or instruction of my / our authorized representative either through internet or otherwise using identification numbers issued by any mutual fund from time to time or otherwise, and / or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, application and papers as may be necessary for acquiring or transferring / redeeming the same, marking pledge / lien on such securities and / or for transferring the investment in the units of mutual funds from one scheme to another or between mutual funds and / or otherwise may be required for dealing in securities or other investment products
6. Pursuant to my / our instructions or instructions of my / our authorized representatives, to make application for or to renounce and sign renunciation forms in respect of bonds / debentures, rights shares and additional shares of any company / body / authority and to receive and hold such rights or additional shares / bonds or debentures.
7. Pursuant to my / our instructions or instructions of my / our authorized representatives, to issue orders and instructions for acquisition and disposal of investment for and on my / our behalf and to purchase or otherwise acquire, sell or otherwise dispose off or otherwise deal / invest in securities.
8. To sign the necessary forms and other documents, if any, and to file and register the same with the company / concerned entities to give effect to the powers conferred herein.
9. To forward all applications for subscription of securities, placed through the website to the online IPO/other module of the concerned exchanges/ authority / concerned entity / platform.
10. To do all such acts and things as may be necessary to give effect to the subscription / purchase / redemption or any other transaction pursuant to my / our instructions or instruction of my / our authorized representative in any securities and / or investment product for which services are availed from JVEPL.
11. To send a consolidated summary of the Client's scrip-wise buy and sell position taken with average rates to me/us by way of an SMS/email on a daily basis notwithstanding any other document to be disseminated as specified by SEBI from time to time.
12. The Attorney agrees to return me / us, the securities that may have been transferred / received by the Attorney erroneously or those securities that it was not entitled to receive from me / us. We shall ratify the instructions given by the Attorney to the Depository Participant named here in above in the manner specified therein.

#### LIST OF DEMAT ACCOUNT OF THE CLIENT

##### Annexure – 1

SR. NO.	Name of the Account holder	DP ID	CLIENT ID
1			
2			

#### LIST OF DEMAT ACCOUNT OF JVEPL

##### Annexure – 2

SR. NO.	Name of the Account holder	DP ID	CLIENT ID
1	J V EQUITIES PRIVATE LIMITED – (CDSL Pool A/c)	12087600	00000048
2	J V EQUITIES PRIVATE LIMITED – (NSDL Pool A/c)	IN300974	12654784
3	J V EQUITIES PRIVATE LIMITED – (NSE Early Pay In A/c)	11000011	00020658
4	J V EQUITIES PRIVATE LIMITED- (Client Unpaid Securities A/c)	12087600	00000962
5	J V EQUITIES PRIVATE LIMITED – (Client Securities Margin Pledge A/c)	12087600	00005844
6			
7			

The abovementioned list of Demat Accounts may be changed by JVEPL from time to time with intimation to the clients in writing / through the website / via e-mail.

AND GENERALLY to do all such other lawful acts and things as the Attorney shall advisable for the purposes aforesaid

as fully and effectually in all respects as I / We could do myself / ourselves and to act as fully and effectually for all intents and purposes in all dealings and transactions between myself / ourselves and the said JVEPL as I / we could if personally present and acting in the matters and

transactions aforesaid. AND I / We do hereby agree to confirm and ratify all and every act or things done by the Attorney within the scope of the authority hereby conferred on it and all deeds or documents executed by it in my / our name or on my /our behalf under this specific power of Attorney shall be binding on me /us as if the same were executed by me / us. My/Our Attorney shall not be liable for any loss that may result from failure / inability of electronic connectivity of rejection of my /our application for any reason whatsoever.


The aforesaid Power of Attorney has been granted, the instructions herein have been given and the agreements


herein contained have been agreed to by me /us in consideration of the said Agreement and the mutual rights, covenants and obligations there under, and are revocable by me / us by giving an intimation to the Attorney in writing and the cessation of this authority shall not affect or impair any act thereto done in exercise of these presents. Such intimation shall be duly signed by me /us and should be received at the Head office of the Attorney. The revocation shall be with immediate effect on receipt of the request at Head Office. IN WITNESS whereof I / We have executed this power of Attorney on the day, year and place herein below mentioned in the schedule


Signed and Delivered by (Schedule above referred to)

Demat A/c. No																				
---------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

**Details of Account holder's**


Trading Account and 1st holder :		
Mr. / Mrs.		  Signature
Address :		

Trading Account and 2nd holder :		
Mr. / Mrs.		  Signature
Address :		


Trading Account and 3rd holder :		
Mr. / Mrs.		  Signature
Address :		

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

**WITNESS**

Mr. / Mrs.		  Signature
Address :		

**WITNESS**

Mr. / Mrs.		  Signature
Address :		

Accepted For and on behalf of J V Equities Pvt. Ltd.

( Authorised Signatories )



**J V EQUITIES PVT. LTD.**

201, Solitaire, Nr. Rajkot Municipal Commissioner Bungalow,

Ramkrishnanagar Main Road, Rajkot - 360002

Please Furnish The Below Information Along With Supporting Documents

Name	
------	--

Country of Residence	
----------------------	--

Country of Birth	
------------------	--

Please check ( ) Yes or No to each of the following questions

- |                                                                                                                                                           |                              |                             |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-----------------------------|
| 1. Are you a U. S. Resident ?                                                                                                                             | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2. Are you a U. S. Citizen ?                                                                                                                              | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3. Do you hold a U.S. Permanent Resident Card (Green Card Holder) ?                                                                                       | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 4. Are you a tax resident of any country other than India ?                                                                                               | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 5. If answer to any of the questions from 1 to 4 is Yes then please provide you Tax Identification Number which is your Social Security Number in Form W9 | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

I hereby confirm that the information provided above is true, accurate and complete.

Subject to applicable laws I hereby consent for J V Equities Pvt. Ltd. (JVEPL) or any of its affiliates (including branches) (collectively J V Equities Pvt. Ltd. (JVEPL) to share my information with domestic or overseas regulators or tax authorities where necessary to establish my tax liability in my jurisdiction.

Where required by the domestic or overseas regulators or tax authorities, I consent and agree that J V Equities Pvt. Ltd. (JVEPL) may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives. I undertake to notify J V Equities Pvt. Ltd. (JVEPL) within 30 calendar Days if there is any change in information which I have provided to JVEPL.

	<b>18</b> Signature / Thumb Impression of Applicant
-------------------------------------------------------------------------------------	--------------------------------------------------------

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



## Details of Ultimate Beneficial Owner Including Additional FATCA & CRS Information - Non Individual

Name of entity

Type of address given at KRA  Residential or Business  Residential  Business  Registered Office

*"Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify change"*

Customer ID / Folio Number

Pan  Date of incorporation  DD /  MM /  YY  YY

City of incorporation

Country of incorporation

Entity Constitution Type  
Please Tick as appropriate

Partnership Firm  HUF  Private Limited Company  Public Limited Company  Society  AOP/BOI  
 Trust H Liquidator  Limited Liability Partnership  Artificial Juridical Person  FI  FI  FBI-I  FBI-II  FBI-III  
 Bank  Government Body  Non-Government Organization  Defense  Society  Others specify

**Please tick the applicable tax resident declaration -**

1. Is "Entry" a tax resident of any country other than India  Yes  No   
(if yes, please provide contry/ies in which the entity is a resident for tax purpose associated Tax ID number below.)

Country	Tax Identification Number <sup>6</sup>	Identification Type (TIN, or Other, please specify)

\*In case Tax Identification Number is not available, kindly provide its function equivalent<sup>5</sup>.  
In case TIN or functional equipment is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In Case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

### FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

**Part A** (to be filled by Financial Institution or Direction or Direct Reporting NFEs)

1. We are a, **GIIN**

Financial institution<sup>6</sup> or   
Direct reporting NFE<sup>7</sup>   
(please tick as appropriate)

**Note** : If You do not have a GIIN but you are sponsored by another entity, please your sponsor's above and indicate your sponsor's name below

Name of sponsoring entity

**GIIN not available** (please tick applicable)  **Applied for**  
if the entity is a financial institution,  not required to apply for-please specify 2 digits sub-category<sup>10</sup>   
 Not obtained - Non participating FI

**Part B** (Please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded Company <sup>1</sup> (that is, a company whose shares are regularly traded on an established security market)	Yes <input checked="" type="checkbox"/> (if yes, please specify any one stock exchange on which the stock regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity <sup>2</sup> of a publicly trade company (a company whose shares are regularly traded on an established security market)	Yes <input checked="" type="checkbox"/> (if yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of Listed Company _____ Nature of relation : <input checked="" type="checkbox"/> Subsidiary of the Listed Company or <input checked="" type="checkbox"/> Controlled by a listed Company Name of Name of exchange _____
3.	Is the Entity active <sup>3</sup> NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business : _____ Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> (mention coad-refer) 2c of Part D)
4.	Is the Entity a publicly traded Company <sup>1</sup> (that is, a company whose shares are regularly traded on an established security market)	Yes <input checked="" type="checkbox"/> (if yes, please fill UBO declaration in the next section.) Name of Business _____



**DECLARATION BY HUF**

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

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

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

**J V EQUITIES PVT. LTD.**201, Solitaire, Nr. Rajkot Municipal Commissioner Bungalow,  
Ramkrishnanagar Main Road, Rajkot - 360002

Dear Sir,

We, the undersigned members of \_\_\_\_\_

(HUF) are desirous of opening a Trading / Demat Account in the above-mentioned name with you. The said account will be operated \_\_\_\_\_ (Kart)

on behalf of \_\_\_\_\_ (HUF).

We hereby undertake that all the transactions undertaken by the said HUF shall be binding not only on the present members of the said joint family (both adults and minors) but also on all future members thereof (both adults and minors) and all persons entitled to a share therein and ourselves personally. Also that whenever any change occurs in the management or in the constitution of the said joint family of whatsoever nature, we undertake to give notice thereof to you.

Sr. No.	Name Of Member	Designation	Relationship	Date Of Birth	Signature
1		Karta			
2		Co-Parcener			
3		Co-Parcener			
4		Co-Parcener			
5		Co-Parcener			
6		Co-Parcener			
7		Co-Parcener			

Thanking you,  
Yours faithfully,

\_\_\_\_\_  
(HUF Stamp & Sign)

Voluntary Authorisation Letter

From : \_\_\_\_\_

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

DP Client Code: \_\_\_\_\_

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

**J V EQUITIES PVT. LTD.**

201, Solitaire, Nr. Rajkot Municipal Comm. Bungalow,  
Ramkrishnanagar Main Road, Rajkot - 360002

By ticking on YES you authorize JVEPL to maintain the Trading Account as Running Account thereby adjusting any obligations and receivables.

**Subject : Voluntary Authorisation letter**

**1. Authorization relating to retain/adjust the shares/securities/ funds and Running Account Maintenance :-**

Yes  No

- a. You can maintain my account on a running account basis any amounts receivable from me against any credits standing into my account or from my forthcoming pay outs payable by me to J V Equities Pvt. Ltd., where I am registered with you as a Client.
- b. I request you to keep my securities, margins and/or funds with you to meet my pay in obligations in the succeeding settlements in the same segment as well as other segments of NSE where I am registered with you as a Client.
- c. Further it is observed that many times the date on which payment is due to me from you and the date which I am required to make payment to you are very close and therefore exchange of cheques become unnecessary paper work. Hence, I request you to maintain the running account facility with you. I agree that you shall not be required to pay any interest/ charges/ cost in respect of funds or securities so held by you on a running account basis.
- d. Further, I hereby give my consent to you to maintain my account on a RUNNING ACCOUNT basis instead of on a daily settlement-to-settlement basis.
- e. However my preference for compulsory periodic settlement of funds as follows:  Monthly  Quarterly
- f. I declare that this authorization is revocable by me at any time without giving any prior notice of such revocation to **J V EQUITIES PVT. LTD**
- g. I agree that in case, I desire to take any pay outs from my trading account, I specifically shall intimate about the same and **J V EQUITIES PVT. LTD** shall upon due scrutiny of my account and upon adherence to its policy/procedure, shall release eligible amount to me.
- h. I further agree that this authorization shall have an equal binding effect to the successors, executors and assigns of **J V Equities Pvt. Ltd..**
- i. I hereby authorize you to transfer/adjust all the additional funds/securities lying in my ledger account after meeting my obligations/dues, to the collateral account to avail exposure or keep all funds/securities in your margin account with you to meet my margin obligations or keep the same with any exchange and/or with clearing member in the form of fixed deposit or any other form to avail exposure/meet margin requirements. I understand that there would not be any interest/commission payable to me in the event of above arrangement. This arrangement would be without any consideration or the fund/securities so moved will not bear any interest/commission payable to me/is in the event of above arrangement..

**2. Authorization for receiving ECN's and any documents/communications in electronic form by E-mail from Stock Broker and Depository Participant display on Website:- Yes No**

I am registered as a Client and having the captioned trading account with JVEPL & Depository account with JVEPL and hereby authorize JVEPL for the following:

E-mail ID: \_\_\_\_\_

By ticking on YES you authorize JVEPL to send all important

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Signature / Thumb Impression of Applicant

To be continue on next page

- a) I/we authorize JVEPL to issue me/us electronic contract notes (ECN's), bills, trade confirmations, ledgers, daily margin statements, statement of accounts for periodical settlement of funds and securities, any notices, circulars, amendments and such other correspondence or communication related to my/our trading account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 and the rules made there under to the E-mail ID as mentioned hereunder:
- b) I/We understand that the documents received on e-mail/displayed on website are for my/our convenience. I/we will take all the necessary steps to ensure confidentiality and secrecy of the login name & password of the internet/email account.
- c) I/We is/are aware that the documents as may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.
- d) I/We shall verify the authenticity of the e-mails which I/we shall receive. JVEPL shall not be responsible, if I/we do not receive the documents due to incorrect email ID and/or technical reasons.
- e) I authorize JVEPL to issue me bills, ledgers, monthly/quarterly/yearly demat transaction cum holding statements, any notices, circulars, amendments and such other correspondence or communication related to my demat account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 .
- f) I understand that wherever the e-mails have not been delivered to me or has been rejected (bouncing of mails) from the e-mail ID of mine, JVEPL would send physical document to me. I further hereby agree that JVEPL have fulfilled the legal obligation, if the above documents are sent electronically to the above-mentioned e-mail ID. I agree that JVEPL will not be responsible for non receipt of documents sent via electronic delivery due to change in email address or for any other reason which inter alia include my email/inbox running out of capacity, malfunction of my computer system/server/internet connection, mails received by frauds/imposters etc. I also agree that JVEPL shall not take cognizance of out-of office/ out-of station auto replies and I shall be deemed to have received such electronic mails.
- g) I shall inform JVEPL in writing if there is any change in my registered e-mail ID. \_\_\_\_\_

**3) Authorization for debiting various depository charges:-**     Yes                       No

By ticking on YES you authorize JVEPL to deduct all DP charges from your account.

- a) I hereby give my consent/authority to debit/recover all types of depository charges viz annual maintenance charges, inter settlement charges, any type of transaction charges as is levied on me for the transactions carried out in my demat account including any statutory levies, services tax or any other tax / charges / fees in / from my trading ledger having the captioned client code as maintained with JVEPL. I understand and agree that such depository charges will be debited in my trading ledger maintained with JVEPL irrespective of the ledger balance on periodically and/or as per the details provided by JVEPL.
- b) I instruct JVEPL to provide the requisite information periodically and/or on occasion basis of such charges levied on me to JVEPL with whom I have opened the trading account
- c) I understand and consent that JVEPL shall have the right to recover the depository charges like any other trade dues payable by me from my trading ledger. I hereby further authorize JVEPL to set off a part or whole of the collateral/ledger balances/securities in my demat account i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with JVEPL. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me.

E-mail ID: \_\_\_\_\_

By ticking on YES you express your approval and interest in receiving information on various other financial products/services that JVEPL has to offer. You also allow JVEPL to share your preferences with other allied businesses.

**21**  
 Signature / Thumb Impression of Applicant

#### 4) Sharing of Data & Information:-

- a) I have opened a trading account with JVEPL having the captioned client code and demat account with JVEPL-DP having the captioned client code and am interested in knowing about various financial products /facilities offered by your associate/group companies. I am aware that associate/group companies are required to obtain information about me and my transactions for providing various financial products/facilities.
- b) I authorize you, your group companies and associates to keep me informed with any financial product which JVEPL, 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 as may be allowed .
- c) I hereby voluntarily accept and expressly authorize JVEPL to get the information from JVEPL-DP or from any other Depository Participant of its group/associate companies with whom I have the Demat account and share/disclose or use in any manner, the information/documents/data about me and our transactions, with group of associates companies which is offering the products / facilities.
- Information provided by me in the Trading and Demat Account Opening Kit.
  - My holdings in stocks/securities.
  - Ledger balances in my Trading/Demat Account across all Exchanges/Depositories.
  - Transaction cum holding statement with JVEPL-DP
  - Any other related information
- d). To the extent appropriate for our relationship with you, personal information may be shared for the following purposes : -
- I. to comply with applicable laws, rules and regulations, including anti-terrorism, KYC, anti-money laundering and tax reporting rules and regulations
  - II. to comply with legal process, to respond to requests from public, regulatory or government authorities (including authorities outside your country of residency), and to allow us to pursue remedies and limit damage
  - III. to any of our associate / affiliate / group entities including our service providers performing delegated outsourced function to enable them to perform internal business processes (which facilitate transactions) such as risk management purposes, data analysis, audits, developing and improving new products and services, etc
  - IV. to any of our associate / affiliate / group entities to enable them to provide you with appropriate products and services
- e) I have no objection to JVEPL sharing the above information or any such other information, about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.
5. I understand that in respect of derivative market transaction, apart from margin liability as on the date of settlement, trading member may retain additional margins (maximum up to 125% of margin requirement on the day of settlement) to take care of any margin obligation arising in next days.
6. I / we do hereby authorize JVEPL to utilize / adjust my / our financial ledger credits towards my investments in Mutual Fund units, debentures, other form of securities, Initial Public Offers (IPOs), FPOs, Fixed Deposits, NCDs, bonds, New Fund Offers etc under my instruction either oral / written.
7. I/We hereby agree that JVEPL can retain the amount of Rs. 10000 across all segment subject to the condition that I have traded during the last Quarter” I / we further state that this authorization is given by me / us purely out of our choice of convenience. I/ we shall not make any claim whatsoever upon JVEPL for JVEPL standing guided by this authorization in favor of maintaining my / our account on running account basis.

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

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

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Signature / Thumb Impression of Applicant

## Electronic Contract Note (ECN) - DECLARATION

To,  
**J V Equities Pvt. Ltd.**  
201, Solitaire, Nr. Rajkot Municipal Comm. Bungalow,  
Ramkrishnanagar Main Road, Rajkot - 360002

Dear Sir,

I/We, \_\_\_\_\_ a client with Member M/s. J V Equities Pvt. Ltd. of MCX & NCDEX Exchange undertake as follows :

- 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/ourselves want the same in the electronic form.
  - I/We am/are aware that the Member has to provide electronic contract note for my convenience on my request only.
  - 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 note pertaining to all the trades carried out/ ordered by me.
  - I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
  - My email id is \_\_\_\_\_. This has been created by me/us and not by someone else.
  - I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
  - I/We am/are non-receipt of bounced mail notification by the member shall amount delivery the contract note at the above e-mail ID.
- [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].

Client Name	<input type="text"/>																		
Unique Client Code	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Address	<input type="text"/>																		
Signature of the Client	<input type="text"/>											Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>											Place	<input type="text"/>						
Verification of the client signature done by,	<input type="text"/>																		
Name of the designated officer of the Member	<input type="text"/>																		
Signature of the Member	<input type="text"/>											Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

## DECLARATION FOR NET OPEN POSITION

To,  
**J V Equities Pvt. Ltd.**  
201, Solitaire, Nr. Rajkot Municipal Comm. Bungalow,  
Ramkrishnanagar Main Road, Rajkot - 360002

Client Name   
Client Code           
Date

Dear Sir,

Subject : My/Our request for trading in commodity forward contracts/commodity derivatives on one or more Exchanges as your client.

I/We the undersigned have taken cognizance of circulars issued by different commodity exchanges in pursuance of the directions received from SEBI from time to time regarding calculation of Net Open Positions permitted in one or more commodities and I/We hereby undertake to comply with the same.

I/We hereby declare and undertake that I/We will not exceed the positions limits prescribed from time to time by different exchanges or SEBI and such positions limits will be calculated in accordance with the circulars of respective exchanges as modified from time to time.

I/We undertake to inform you and keep you informed if I/ any of Our Partners/Directors/Karta/Trustee or any of the Partnership Firms / Companies / HUFs/Trusts in which I or any of the above such person is a Partners/Directors/Karta/Trustee takes or holds any positions in any commodity Forward Contract/ commodity derivative on different exchange through you or through any other member(s) of different exchanges to enable you to restrict our position limit as prescribed by the above referred circular of different exchange as modified from time to time.

I/We confirm that you have agreed to enter order in commodity forward contracts/commodity derivatives for /us as your clients on different exchanges only on the basis of our above assurances and undertaking.

Yours truly,

For

**Signature of the Applicant**

\*Strike off whichever is not applicable/acceptable to you.

**(Sole Proprietor / Partner / Director / Karta / Trustee)**

# AUTHORITY TO RETAIN FUND AS RUNNING ACCOUNT

To,  
J V Equities Pvt. Ltd.  
201, Solitaire, Nr. Rajkot Municipal Comm. Bungalow,  
Ramkrishnanagar Main Road, Rajkot - 360002  
REF. : Authority to retain Fund towards Margin

Date          
Client Code            
Member : MCX/NCDEX  
Settlement :  Quarterly  Monthly

**These additional clause(s)/documentation(s) are voluntary and at the discretion of the trading member and the client. The same are required in order to ensure running on a day to day basis between the 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. Any such clause introduced shall stand null and void if they dilute the responsibility of the trading member or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the exchanges from time to time.**

1. I/We have made application with requisite documents to you to open trading account for execution of trades on my/our behalf as per instruction given by me/us from time to time in various segments of various exchanges like MCX and /or NCDEX etc. (hereinafter called as "the Commodity Exchange(s)") as my/our member.
2. For the purpose of operational convenience, I/we hereby give my/our consent to maintain my/our account for the funds on running account basis. I/We understand that consequent to your execution of my/our trades, I/we have either to pay/receive funds depending upon my/our transactions. In the event I/we have to receive funds from you on declaration of pay-out of funds by the Exchanges, Clearing Corporations etc., I/we hereby authorize you to retain the funds and commodity, as the case may be, with you as margin towards my/our ongoing transactions from time to time any or all of the Exchange(s), unless, I/we issue specific / oral instruction for making payment of funds due to me/us, after adjusting any dues, margin obligations etc. Further I/We hereby authorize you to deliver the fund so held for my/our subsequent pay-in obligations. I/We do not want you to make payments of funds to me/us on settlement-to-settlement basis.
3. The credit balance account may be adjusted against any debit in subsequent/previous settlement of any segment of any exchange. I/we also request you to consider my credit balance in my/our account as margin money. I/We further authorize you to inter transfer, adjust balance, pass journal voucher for my/our cash margin, payout of funds, my/our running ledger balance, between various segments of various exchanges in my/our various accounts held with you and vice-a-versa. I/We hereby willfully issue standing instructions for transfer of credit/debit balance from Market to Market/Premium Account to Margin

Account vice-a-versa. I/We hereby authorize you to withhold my/our fund pay-out (if any) towards margin and open interest, as and when warranted and similarly debit my/our account with you for fresh Mark to Market differences, Margin etc. on a daily basis, if required.

4. I/we authorize you to debit my/our account for all necessary charges in respect of transfer of funds and commodity from your account to meet my/our pay-in obligations or for transferring such fund and commodity into my/our bank account or demat account respectively, as per my/our specific instruction.
5. I/we hereby agree and undertake that in case of any failure on my/our part to meet pay-in/margin or any other liability, merely on your demand, you shall have the right to realize the same from my/our credits, commodity, collaterals, balances, margin, deposits or all such other balances lying with you.
6. I/we have noted the procedure of revocation of the this authorization is by submitting a physical letter to your registered office or in any manner as specified by Exchanges/ SEBI from time to time.
7. In case I/we have an outstanding obligation on the settlement date, you may retain the requisite commodity/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 exchange(s) and as per the rules, regulation and bye-laws of the exchange(s).
8. I/We confirm you that I/we will bring to your notice any dispute arising from the statements of account or settlements so made in writing within 7 working days from the date of receipt of funds/commodity or statement of account or statement related to it, as the case may be at your registered office.
9. Unless I/we withdraw this authorization, I/We hereby authorize you to continue to maintain my/our account for the funds on running account basis or such longer period as the governing authority may specify, from the date of this authorisation.

Thanking You,

**Signature of the Applicant**



\*Strike off whichever is not applicable/acceptable to you.

## RIGHTS AND OBLIGATIONS OF MEMBER, AUTHORISED PERSON AND CLIENTS

### ADDITIONAL CLAUSES - VOLUNTARY

(Kindly note that this additional document is voluntary and to be signed at the discretion of the client. The same are required in order to ensure running on a day to day basis between the 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)

**In addition to the above, the parties here by agree to the below mentioned :**

1. **Authorization for Debit :** Without prejudice to any other clause of this document and/or the general terms and conditions, the client understands and agrees that the Member - Broker may charge additional financial charges according to the Rules, Bye-laws and Regulations of the relevant exchange and usual custom of the market for any extra services rendered by the Member and as required by the client, or for such extra reasonable costs, including legal fees, incurred by the Member for collecting the dues payable by the client to Member, an exchange, clearing corporation/ clearing house, any agent or Authorised Person of the Member and/or any other individual, partnership, corporation, company, organization, association, trust or other entity acting for or on behalf of the Member.
2. **Delayed Payment Charges :** Without prejudice to any other rights of the member-Broker to cover outstanding dues from the client and to square off open positions of the client for delay in payment or non-payment, the Member-Broker shall have authority to charge delayed payment charges for dues from the client including dues for margin, MTM loss or receipt of delivery at the rate of 18% per annum for each day till such dues are paid.
3. In case where the payment by the client towards margin is made through cheque/payorder/demand draft issued in favor of Member, any trades would be executed by the Member only upon the realization of the funds of the said cheque/pay order/demand draft, or at the discretion of the Member
4. The client hereby unconditionally, absolutely, and irrevocably undertakes to pay immediately any amount due and payable on being called upon to do so, merely on a demand in writing or otherwise from the Member-Broker stating that the amount has become due and any such demand made on the client shall be conclusive as regards the amount due and payable by the client.
5. **Lien:** All the securities, commodities, warehouse receipts and /or properties placed with the Member-Broker shall be subject to a lien for the discharge of any and all indebtedness or any other obligation that the client may have to Member-Broker. All of the client's securities and/ or other property shall be held by the Member-Broker as security for payment of any such obligation or indebtedness to Member-Broker. In enforcing its lien, Member-Broker at its sole discretion may determine which securities and / or other properties are to be sold or which contracts are to be enforced.
6. **Acting as a unregistered Sub-Broker or authorised Person :** The Client agrees that he will not act as an unregistered Sub-Broker or Authorised Person With out obtaining registration.
7. **Deliveries**
  - (i) The Client will be responsible for providing information for the purposes of giving / taking against his net open position along with information required for giving / taking delivery within the period stipulated as specified by the Exchange from time to time.
  - (ii) The client shall co-ordinate with the Member-Broker to fulfill the requirements specified by the Exchange for giving / receiving delivery pursuant to matching of delivery intentions and /or open positions during tender Period in accordance with delivery obligations assigned by the Exchange.
  - (iii) The client shall, upon assigning of delivery obligations by the Exchange in accordance with prescribed procedure, give/receive delivery of commodities in the mode and manner prescribed by the Exchange within time specified by the Exchange.
  - (iv) The client shall comply with laws relating to value added tax/sales tax of state and Central Government as may be applicable to delivery transactions and other laws let into stock limit or declarations or any other requirements prescribed by any of the state laws or law of Central Government.
  - (v) The client shall furnish details of his/her its GST registration , CST registration and any other registrations required while receiving or giving delivery of commodities. The clients shall furnish GST invoice, Sales Tax exemption concession forms where required promptly and within the prescribed schedule in accordance with Exchange Rules in this behalf. Wherever the client is required to receive Tax invoice, the client shall take care to ensure that the same is received in due course
  - (vi) The penalty for failure to give or take delivery of commodities as levied by the Exchange including any loss or damages suffered by the Member-Broker shall borne by the client.
8. The client agrees that each participating Exchange or association or agency that supplies any data to be displayed on the website asserts a proprietary interest in all of the market data it furnishes to parties that disseminate the said data. Neither the Stock Broker nor any agency or any supplier of market data guarantees the timeliness, sequence, accuracy, completeness, reliability or content of market information, or messages disseminated to or by the party. The services of Stock Broker are provided on an "as available" basis without warranties of any kind, either express or implied, including, without limitation, those of merchantability and fitness for a particular purpose.
9. Neither the Stock Broker nor any other party disseminating any data/message/information through the Website shall be liable for any inaccuracy, error, omission or delay in the transmission or delivery of :
  - (1) Any such data, information or message, or
  - (2) Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Nonperformance, or (iii) Interruption in any such data, information or message, due to either any act or omission by the Stock Broker or any disseminating party or to any "force majeure" (e.g flood extra ordinary weather condition, earthquake or other act of nature fire, war, insurrection, riot, labour dispute, accident, action of government, communications, power failure equipment or software malfunction) or any other cause beyond the reasonable control of the stock Broker or any disseminating party.

10. The Client acknowledges that the Member-Broker shall neither be under any obligation to provide the Client with any tax, legal, accounting investment advice or advice regarding the suitability or profitability of investment of any kind, nor do the Stock Broker give any advice or give any opinion with respect to the nature, potential value or suitability of any particular transaction or investment strategy. The client acknowledges that the employees of the Stock Broker or the Stock Broker himself are not authorised to give out any advice and the clients shall at all times be responsible and liable for his own actions / inaction. The client may be able to access investment research reports through the internet from the web-site, including computerized on-line service or physical copy. The availability of such information does not constitute a recommendation to buy or sell any of the investment products. Any investment decision will be based solely on the clients own evaluation of financial circumstances and investment objective.  
Any realtime quotes provided are only for the clients own use and the client shall not furnish such data to any other person or entity.
11. The Client is authorised to use materials which are made available by the Stock broker, or of other third parties at the Stock Broker's website for client's own needs only in accordance with the terms and conditions specified for such usage, and Client is not authorised to resell access to any such materials or to make copies of any such materials for sale or use by others. Client will not delete copyright or other intellectual property rights notices from print outs of electronically accessed materials.
12. The Client shall, at all times, be responsible for the Investment decisions and/or orders placed or applications preferred by the Client either electronically or otherwise. The Client shall neither hold nor seek to hold the Stock Broker or any of its Directors, officers employees, agents or affiliates, liable for any loss including but not limited to the trading losses incurred by the Client. The Client understands that the placing of the order with the Stock Broker electronically or otherwise does not guarantee execution of the said order or the acceptance of the application. Though orders will generally be routed to the exchange's computer systems within a few seconds from the time the order is placed by the Client to the Stock Brokers trading system, the Stock Broker shall not be liable for any delay in the execution of an order or any resultant loss on account of that delay. The Stock Broker shall not be deemed to have received any order electronically or application unless it has confirmed the same.
13. In case of a market order the Client agrees that he/she/it will receive the price at which the order has been executed by the exchanges computer systems and such price may be different from the price at which the security is trading when his/her/its order is entered into the Stock Brokers trading system.
14. The client hereby agrees that Stock Broker or the exchanges shall not be liable for non-execution of any order caused due to suspension, interruption, non availability or malfunctioning of the online as well as offline trading service or the exchange system or services for any reasons whatsoever.
15. The client is aware that Stock Broker may tape record the conversation between the client / client's representative and the Stock Broker, either directly or over the telephone, and hereby specifically permits the Stock Broker to do so. Such recording may be relied upon by the Stock Broker as valid evidence as and when required.
16. The Stock Broker may, however, assign their rights and obligations to any third person without the prior consent of the client.
17. The Client shall have right to revoke any of the authorization granted to the Member-Broker through this Document by sending a written communication duly signed at the registered Office of the Member-Broker
18. SEVERANCE: In case any one or more of the provisions contained in this document becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired there to.
19. WAIVER: No forbearance, relaxation or inaction by any party at any time shall require the performance of any provision of this document shall in any way affect, diminish or prejudice the right of such party to require the performance of that or any other provision of this document or be considered to be a waiver of any right, unless specifically agreed in writing .
20. NOTICES: All notices or communications issued under this document shall be served in any one or more or all of the following ways and such notice or communication under (i) to (xii) below shall be served at the ordinary business address and / or ordinary place of residence and / or last known address of the client in any one or more of the following ways.
- i) by post
  - ii) by registered post
  - iii) under certificate of posting
  - iv) by express delivery post
  - v) by telegram
  - vi) by affixing it on the door at the last known business or residential address
  - vii) by oral communication to the party or on the last known telephone number or on the recording machine of such number
  - viii) by advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated
  - ix) by sending a message through trading system
  - x) by notice posted on the notice board of the Exchange if no address be known
  - xi) by electronic mail or fax
  - xii) by hand delivery
21. The client is informed that this document is also displayed by the stock broker on his website [www.jvgroups.com](http://www.jvgroups.com) as modified and amended from time to time.

**Signature of the Applicant**

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**CLIENT MASTER - FOR USE BY JVEPL**

**STRICTLY BRANCH REFERENCE**

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

Authorised Person / Business Associate sharing arrangement details and Sub-brokers (name & code)

Signature

**BROKERAGE DETAILS - REFER PAGE NO. 13**

**STRICTLY HO REFERENCE**

**Initial entries**

INWARD PARTICULARS				DOCUMENT VERIFICATION				DATA ENTRY PARTICULARS			
Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
Time	<input type="text"/>	<input type="text"/>	<input type="text"/>	Time	<input type="text"/>	<input type="text"/>	<input type="text"/>	Time	<input type="text"/>	<input type="text"/>	<input type="text"/>
Sign				Sign				Sign			

ACCOUNT ACTIVATION				BACK OFFICE MASTERS			
Code Allotted (all segments)	<input type="text"/>	<input type="text"/>	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
BOID	<input type="text"/>	<input type="text"/>	<input type="text"/>	Updated by	<input type="text"/>		
Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	Sign			

**PROCEDURE CHECK LIST**

<input type="checkbox"/> Mail sent to Client	<input type="checkbox"/> SMS sent to Client	<input type="checkbox"/> Welcome kit dispatch
<input type="checkbox"/> UCC Exchange	<input type="checkbox"/> NSE	<input type="checkbox"/> FO
<input type="checkbox"/> CDS	<input type="checkbox"/> MCX	<input type="checkbox"/> NCDEX
<input type="checkbox"/> ACH	<input type="checkbox"/> DIET	<input type="checkbox"/> Mobile
		<input type="checkbox"/> Branch/AP

<b>Intimation</b> from Branch/AP by	<b>Receipt mode</b>
<b>Document</b> received	
<b>Signature</b> of Back-office Incharge	Date
<b>Audited by</b>	<b>Original</b>
<b>Audit date</b>	<b>Rejected pursuant</b> _____
	_____
	_____

**Signature** of Back-office Incharge / Compliance Official \_\_\_\_\_



**This page is intentionally left blank**

**General Instruction :**

1. Fields marked with '\*' are mandatory fields.
2. Tick ' ' wherever applicable
3. Self Certification of documents is mandatory.
4. Please fill the form in English and BLOCK Letters
5. Please fill all dates in DD-MM-YYYY format.
6. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7. KYC number of applicant is mandatory for updation of KYC details.
8. For particular section update please tick (✓) in the box available before the section number and strike off the section not required to be updated.
9. In case of 'Small Account type' only personal details at section number 1 and 2 photograph, signature and self-certification required.

**A Clarification / guidelines on filling 'Personal Details' section**

- 1 **Name :** Please state the name with Prefix (Mr/Mrs/Dr/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

**B Clarification / Guidelines on filling details of applicant residence for tax purposes in jurisdiction(s) outside India**

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the name may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [Poi]' section**

- 1 If driving license number/passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 If driving identification / reference number if 'Z-Other (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 3 (s)

Document Code	Description Identity
01	Card with applicant's photograph issued by Central/state Government Departments, Statutory / Regulatory Authorities, Public Sector
02	Undertakings, Scheduled Commercial Banks, Public Financial Institutions. Letter issued by a gazetted officer, with a duly attested photograph of the person.

**D Clarification / Guidelines fillings 'Proof of Address [Poa] - Current / Permanent / Overseas Address details section**

- 1 PoA to be Submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas address.
3. In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and underlined relevant code be mentioned point 4. 1

Document Code	Description Identity
01	Utility bill which is not more than two months old any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill)
02	property or municipal tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and licence agreements with such employee allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdiction and letter issued by Foreign Embassy in India.

**E Clarification / Guidelines on filling 'Proof of Address [Poa] - Current / Permanent / Overseas Address details section**

1. To be filled only in case the PoA is not the local address or address where the Customer is currently residing. No separate PoA is required to be Submitted
2. In case of multiple correspondence / local address, Please fill '**Annexure A1**'

**F Clarification / Guidelines on filling 'Contact details' section**

1. Please mention two - digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of mobile number.

**G Clarification / Guidelines of filling 'Related' Person details' section**

- 1 Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details - Proof of identity [Pol] of related Person 'section'**

- 1 Mention identification / reference number if 'Z-Others (any document notified by the central government)' is ticked.

**CHECK LIST FOR NON INDIVIDUAL CLIENTS JV Equities Pvt. Ltd.**

**Proof of Identity (For All Categories)**

- PAN Card (Compulsory)

**Proof of Address - HUF/PROPRIETOR :** (Please provide photocopy of any one)

- |                                                              |                                           |                                                                      |
|--------------------------------------------------------------|-------------------------------------------|----------------------------------------------------------------------|
| <input type="checkbox"/> Bank Verification Letter (Original) | <input type="checkbox"/> Voter ID         | <input type="checkbox"/> Bank Passbook (With Latest Quarter Balance) |
| <input type="checkbox"/> Passport                            | <input type="checkbox"/> Driving Licence  | <input type="checkbox"/> Rent agreement (notarized Copy)             |
| <input type="checkbox"/> Telephone Bill                      | <input type="checkbox"/> Electricity Bill | <input type="checkbox"/> Bank Statement (or Latest Quarter)          |

The proofs should be valid for at least Next 2 Months. The proofs should not be more then 2 Months old.

**Proof of Address - PARTNERSHIP/CORPORATE/TRUST :** (Please provide photocopy of any one)

- |                                                                                 |                                                         |                                           |
|---------------------------------------------------------------------------------|---------------------------------------------------------|-------------------------------------------|
| <input type="checkbox"/> Bank Verification Letter (Original)                    | <input type="checkbox"/> Bank Passbook / Bank Statement |                                           |
| <input type="checkbox"/> Rent agreement (notarized Copy)                        | <input type="checkbox"/> Telephone Bill                 | <input type="checkbox"/> Electricity Bill |
| <input type="checkbox"/> Address Document of ROC (In case of Corporate Account) |                                                         |                                           |
| <input type="checkbox"/> Address Document of ROT (In case of Registered trust)  |                                                         |                                           |

The proofs should be valid for at least Next 2 Months. The proofs should not be more then 2 Months old.

**Proof of Bank Account :** (Pl. Provide Photocopy of any one)

- |                                                                        |                                                              |
|------------------------------------------------------------------------|--------------------------------------------------------------|
| <input type="checkbox"/> Cancelled Cheque with the client name printed | <input type="checkbox"/> Bank verification letter (Original) |
| <input type="checkbox"/> Bank Statement with Cancelled Cheque          | <input type="checkbox"/> Bank Passbook with Cancelled Cheque |

The proofs should be latest or last quarter which may be latest

**Proof of Demat Account**

- Client Master and DP Statement (Both required) : The name and DP account should be the same as information filled in the application form. DP Statement should clearly show DP ID and Client ID.
- In case of JV Equities Pvt. Ltd. Demate Account then only client master required

**ADDITIONAL REQUIREMENTS AND INSTRUCTION**

**Proof of Demat Account**

- Declaration (As per Annexure - 3)       Signature of Proprietor verified by Bankers

**Partnership Firm**

- |                                                                                                                                                                    |                                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|
| <input type="checkbox"/> All Partners PAN CARD Mandatory                                                                                                           | <input type="checkbox"/> All Partners Address Proof Mandatory                    |
| <input type="checkbox"/> Bank Account should be in name of partnership firm                                                                                        | Address proof should be in name of partnership firm.                             |
| <input type="checkbox"/> Bank proof along with a passport size photograph of all the partners.                                                                     |                                                                                  |
| <input type="checkbox"/> Demate Account should be in the authorized partner's (Client Master & Last Holding Statement Required)                                    |                                                                                  |
| <input type="checkbox"/> Notarised copy of the partnership deed.                                                                                                   | <input type="checkbox"/> Copy of the latest income tax return filed of the firm. |
| <input type="checkbox"/> Last 2 Year Balance Sheet                                                                                                                 |                                                                                  |
| <input type="checkbox"/> Authority letter by all the Partners in favor of the managing partner / Authorised person along with bank Verification.(As per Annex : 4) |                                                                                  |
| <input type="checkbox"/> Affix firm's rubber stamp on appropriate places                                                                                           |                                                                                  |

**Additional Requirements and Instruction JV equities Pvt. Ltd.**

**HUF Account**

- |                                                                                                                                          |                                                                           |
|------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|
| <input type="checkbox"/> HUF and Karta's PAN Card Mandatory                                                                              | <input type="checkbox"/> Proof of identity & Address of Karta             |
| <input type="checkbox"/> HUF and Karta's Bank Account Required                                                                           | <input type="checkbox"/> HUF Demat Account                                |
| <input type="checkbox"/> Signature of Karta and all the co-parceners on the declaration, along with bank verification (As per Annex : 5) |                                                                           |
| <input type="checkbox"/> Affix HUF rubber stamp on appropriate places                                                                    | <input type="checkbox"/> Latest IT copy required                          |
| <input type="checkbox"/> Notarised HUF deed if applicable                                                                                | <input type="checkbox"/> Don't use HUF suffix in client name field for DP |

**CORPORATE / REGISTERED TRUST - ACCOUNT**

**HUF Account**

- Corporate / Trust Demat Account required.
- Proof of identity (Photo and address) of the authorized person(s), Official(s), Director / Trustees along with photocopy of his/their PAN card and Passport size Photograph
- Certified true copy of the annual Reports(containig Balance Sheet & Profit and Loss Account) and IT return copy of the last 2 years (and every year, updated / latest copies of the same would have to be submitted)
- Certified Copy of Memorandum (along with certificate of incorporation) & Articles of Association of the Company
- Notarised Certificate true copy of trust deed.
- List of Director / Trustees on the letterhead of the company signed by authorized official
- Latest shareholding pattern (including list of person / entity holding more than 5% in the capital of the company (and every year, updates / latest copies of the same would have to be submitted).
- A declaration on letterhead of the company (As per Annex : 6).
- Certified true copy of a resolution passed by the board of director / Trustees for naming the authorized person(s)/l Officaial(s) to sign various agreements / documents. (As per Annex. : 7)

**DOCUMENTARY EVIDENCE OF FINANCIAL DETAILS. (F & O)**

- |                                                              |                                                |
|--------------------------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Copy of ITR with Acknowledgement    | <input type="checkbox"/> Copy of Balance Sheet |
| <input type="checkbox"/> Copy of Annual Return File with ROC | <input type="checkbox"/> Networth Certificate  |

**NRI - ADDITIONAL REQUIREMENTS**

- PAN Card Compulsory.
- Only Valid Passport Shall be accepted as proof of identity and proof address
- Indian and foreign address of client along with proof is mandatory.
- Bank Account Shall be Either NRE OR NRO Status.
- Permission for dealing in securities from authorised dealer (Bank) RBI Approval is mandatory.
- FEMA Declaration for NRI Client. (Annex - 2)

**DOCUMENTARY EVIDENCE OF FINANCIAL DETAILS. (F & O)**

- |                                                                   |                                                                                           |
|-------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Copy of ITR Acknowledgment               | <input type="checkbox"/> Salary Slip                                                      |
| <input type="checkbox"/> Copy of Form 16 in case of salary income | <input type="checkbox"/> Any other relevant documents substantiating ownership of assets. |
| <input type="checkbox"/> Bank account statement for last 6 months | <input type="checkbox"/> Self declaration along with relevant supporting.                 |

### List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

### List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara EH	
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		



# **J V GROUP**

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## **J V EQUITIES PVT LTD**

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