

Form No.

## NCJ SHARE & STOCK BROKERS LTD.

(MEMBER : NSE, BSE & MCX-SX)



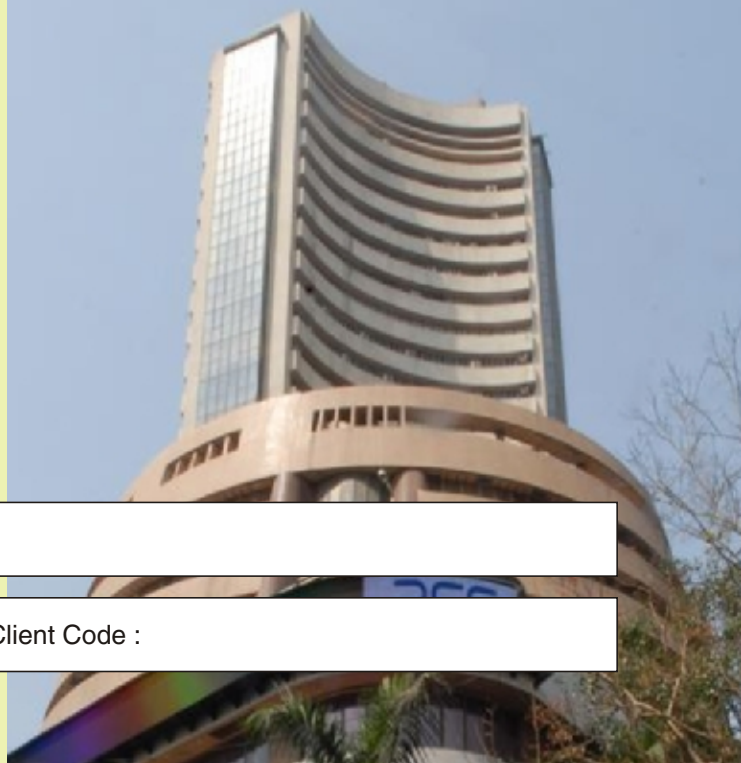
# Client Registration Form

- INDIVIDUAL
- CORPORATE
- PARTNERSHIP FIRM
- HUF

Branch / Sub Broker / Remisier / Direct :

Client Name :

Client Code :



# NCJ SHARE & STOCK BROKERS LTD.

Member : Bombay Stock Exchange Ltd.  
National Stock Exchange of India Ltd.  
MCX Stock Exchange Ltd.

## SEBI Registration Numbers :

**BSE (CM)** : INB 011192037 • Dated : 20-03-2003  
**BSE (F&O)** : INF 011192037 • Dated : 08-10-2003  
**NSE (CM)** : INB 231295636 • Dated : 27-3-2008  
**NSE (F&O)** : INF 231295636 • Dated : 27-03-2008  
**MCX-SX (Currency)** : INE 261295636 • Dated : 29-09-2008

### **Regd. Office :**

1st Floor, Jwala Mansion, 4/2B, Asaf Ali Road, New Delhi - 110 002  
Ph.: 011-23253694, 23270976, 23273711, 23277686, 32444603 Fax: 011 - 23286082  
E-mail : ncjshare\_519@yahoo.co.in  
Website : www.ncj.co.in

### **Mumbai Office :**

525, 5th Floor, Pheeroj Jeejibhai Tower, Dalal Street, Fort, Mumbai-400001  
Ph.: 022-22722666, Telefax : 022-22721869

#### Compliance Officer

SHANKAR VISHWAS RAO  
Ph.: 022-22722666  
Email : srao\_519@yahoo.co.in

#### Director's Detail

Naresh Chand Jain / Rakesh Kumar Jain / Aman Kumar Jain  
Ph.: 011-23270976 / 022-22722666  
Email : ncjshare@gmail.com

For any grievance/dispute please contact **NCJ SHARE & STOCK BROKRES LTD.** at the above address or email id-grievance@ncj.co.in and Phone No. +91-11-23253694. In case not satisfied with the response, please contact the concerned exchange(s) at (NSE) ignse@nse.co.in and Phone No. +91-22-26598190, (BSE) is@bseindia.com and Phone No. +91-22-22728097.

**ANNEXURE - 1**  
**ACCOUNT OPENING KIT**

**INDEX OF DOCUMENTS**

**MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1-4
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	5-8
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Given to Client with Welcome Kit
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	9-12
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	13

**VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Letter or Authority	To enable the trading member to act upon the clauses mentioned in the letter of authority	14
2.	Running Account Authorisation	Letter where in Client Authorises Stock Broker to maintain running account.	15
3.	Client Defaulter Declaration	Declaration for being not involved in any Terrorist activity and not declared as Defaulter by SEBI/Exchanges/etc.	15
4.	Authorisation for Electronic Contract Notes	Where the client authorizes the stock broker to send contract notes and other documents in electronic form.	16
5.	Declaration for Name Mismatch	For authorizing the payout as per enclosed Bank Proof.	16
6.	Addendum to the Client Registration Form / Key Information	Information regarding prevention of money laundering	17

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## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM (FOR INDIVIDUALS)

### A. IMPORTANT POINTS:

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

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

1. PAN card with photograph. This is 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. 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 apostiled 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 officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
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.

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Application No. :

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

\_\_\_\_\_

2. Date of Incorporation   /   /

Place of Incorporation \_\_\_\_\_

3. Registration No. (e.g. CIN) \_\_\_\_\_

Date of commencement of business   /   /

4. Status Please tick (✓)  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust / Charities / NGOs  
 FI  FII  HUF  AOP  Bank  Government Body  Non-Government Organisation  
 Defence Establishment  Body of Individuals  Society  LLP  Others (Please specify) \_\_\_\_\_

5. Permanent Account Number (PAN) (MANDATORY) \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card



**B. Address Details (please see guidelines overleaf)**

1. Address for Correspondence

\_\_\_\_\_  
City / Town / Village \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_ Postal Code \_\_\_\_\_

2. Contact Details

Tel. (Off.) (ISD) (STD) \_\_\_\_\_ Tel. (Res.) (ISD) (STD) \_\_\_\_\_  
Mobile (ISD) (STD) \_\_\_\_\_ Fax (ISD) (STD) \_\_\_\_\_  
E-Mail Id. \_\_\_\_\_

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

\*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf). (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted   /   /

4. Registered Address (If different from above)

\_\_\_\_\_  
City / Town / Village \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_ Postal Code \_\_\_\_\_

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

\*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf). (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted   /   /

**C. New Other Details (please see guidelines overleaf)**

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors :

\_\_\_\_\_

2. a) DIN of whole time directors : \_\_\_\_\_

b) Aadhaar number of Promoters/Partners/Karta : \_\_\_\_\_

**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.

**NAME & SIGNATURE(S)  
OF AUTHORISED  
PERSON(S)**

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

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

**FOR OFFICE USE ONLY**

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Seal/Stamp of the intermediary should contain  
Staff Name  
Designation  
Name of the Organization  
Signature  
Date

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

Please Tear Here

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM (FOR NON-INDIVIDUALS)

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
<b>Corporate</b>	<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 securities market.</li> <li>Authorised signatories list with specimen signatures.</li> </ul>
<b>Partnership Firm</b>	<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>Copy of partnership deed.</li> <li>Authorised signatories list with specimen signatures.</li> <li>Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<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). Copy of Trust deed.</li> <li>List of trustees certified by managing trustees/CA.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>PAN of HUF.</li> <li>Deed of declaration of HUF/ List of coparceners.</li> <li>Bank pass-book/bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<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>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>Self-certification on letterhead.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<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>

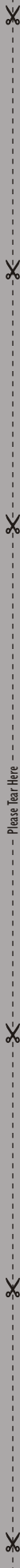
### Additional documents in case of trading in derivatives segments - illustrative list :

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.

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

Please Submit the KYC Documents on A4 Size Paper Only.





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

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr. No.	PAN	Name	DIN (For Directors) / 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"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

# **DOCKET - A**

## **MANDATORY DOCUMENTS**



**DECLARATION**

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



\_\_\_\_\_  
Signature of the Applicant

Date : \_\_\_\_\_(dd/mm/yyyy)

**FOR OFFICE USE ONLY**

(Originals verified) True Copies of documents received

(Self-Attested) Self Certified Document copies received

\_\_\_\_\_  
Signature of the Authorized Signatory

Date :.....

Seal/Stamp of the Intermediary

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

Note: The information to be given in the form, is the sole property of NCJ SHARE & STOCK BROKERS LTD. and would not be disclosed to anyone unless required by law or except with the express permission of the client.

Please affix  
your recent  
passport size  
photograph  
duly signed  
across

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

### A. IDENTITY DETAILS

Name of the Applicant : \_\_\_\_\_

Date of incorporation : \_\_\_\_\_

Place of incorporation : \_\_\_\_\_

Date of commencement of business : \_\_\_\_\_

Permanent Account Number (PAN) : \_\_\_\_\_

Registration No. (e.g. CIN) : \_\_\_\_\_

Status (Please tick any one) :  Private Limited Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust  Charities  
 NGO's  FI  FII  HUF  AOP  Bank  Govt. Body  Non-Govt. Organization  
 Defense Establishment  BOI  Society  LLP  Others \_\_\_\_\_

### B. ADDRESS DETAILS

Correspondence Address : \_\_\_\_\_  
\_\_\_\_\_  
City/Town/Village : \_\_\_\_\_ State : \_\_\_\_\_  
Country: \_\_\_\_\_ Pin Code : \_\_\_\_\_

Contact Details : Tel.: (O) \_\_\_\_\_ Tel. (R) \_\_\_\_\_  
Mobile \_\_\_\_\_ Fax \_\_\_\_\_  
E-mail \_\_\_\_\_

Specify the proof of address submitted for correspondence address : \_\_\_\_\_  
\_\_\_\_\_  
Registered Address : \_\_\_\_\_  
*(If different from above or overseas address, mandatory for Non-Resident Applicant)*  
City/Town/Village : \_\_\_\_\_ State : \_\_\_\_\_  
Country: \_\_\_\_\_ Pin Code : \_\_\_\_\_

Specify the proof of address submitted for Registered address : \_\_\_\_\_  
\_\_\_\_\_

**C. OTHER DETAILS**

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors :

PHOTOGRAPH
Sign across the Photograph

PHOTOGRAPH
Sign across the Photograph

Name

PAN

Residential Address

DIN :

UID :

Name

PAN

Residential Address

DIN :

UID :

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors :

:  Politically Exposed Person (PEP)     Related to Politically Exposed Person (PEP)

Any other information :

**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/We am/are aware that I/we may be held liable for it.

  
Signature of the Authorized Signatory

Date : \_\_\_\_\_(dd/mm/yyyy)

Name of Authorized Signatory \_\_\_\_\_

**FOR OFFICE USE ONLY**

(Originals verified) True Copies of documents received

(Self-Attested) Self Certified Document copies received

Signature of the Authorized Signatory

Date : .....

Seal/Stamp of the Intermediary

**ANNEXURE - 3**

**TRADING ACCOUNT RELATED DETAILS**

**(For Individuals & Non-Individuals)**

**A. BANK ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)**

Bank Name	Branch Address	Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI / NRE / NRO		

**B. DEPOSITORY ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)**

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

**C. TRADING PREFERENCES**

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

Stock Exchange	Market Segment/s
<input type="checkbox"/> NSE <input type="checkbox"/> Cash <input type="checkbox"/> F&O	<input type="checkbox"/> Cash <input type="checkbox"/> F&O
<input type="checkbox"/> BSE <input type="checkbox"/> Cash <input type="checkbox"/> F&O	<input type="checkbox"/> Cash <input type="checkbox"/> F&O
<input type="checkbox"/> MCX-SX <input type="checkbox"/> Currency Derivative	<input type="checkbox"/> Currency Derivative

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

**D. OTHER DETAILS**

- Gross Annual Income Details : Income Range per annum :  Below Rs. 1 Lac  Rs. 1 Lac to 5 Lac  
 Rs. 5 Lac to 10 Lac  Rs. 10 Lac to 25 Lac  Rs. 25 Lac to 1 Crore  >1 Crore

**OR**

Net Worth (Net worth should not be older than 1 year) Amount Rs.....  
 as on (date)         (Compulsory for Non-Individuals)

- Occupation :  Private Sector  Public Sector  Government Service  Business  Professional  
 Agriculturist  Retired  Housewife  Student  Others \_\_\_\_\_ Please Specify
- Please tick, if applicable :  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)
- Any other information : .....

**E. 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 :

**F. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS**

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

Sub-broker's Name : \_\_\_\_\_

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

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

\_\_\_\_\_

Ph : \_\_\_\_\_ Fax : \_\_\_\_\_ Website : \_\_\_\_\_

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

Name of stock broker : \_\_\_\_\_

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

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

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

\_\_\_\_\_

**G. ADDITIONAL DETAILS**

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

\_\_\_\_\_

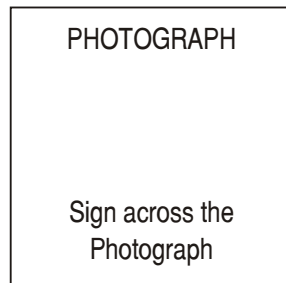
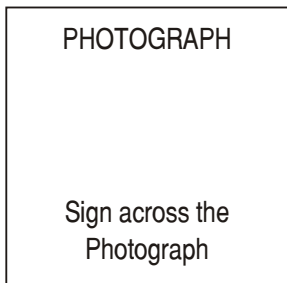
Specify your Email id, if applicable : \_\_\_\_\_

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) :

\_\_\_\_\_

Number of years of Investment/Trading Experience : \_\_\_\_\_

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:



Name \_\_\_\_\_

Designation \_\_\_\_\_

PAN \_\_\_\_\_

UID \_\_\_\_\_

Residential Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

Name \_\_\_\_\_

Designation \_\_\_\_\_

PAN \_\_\_\_\_

UID \_\_\_\_\_

Residential Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

Any other information : \_\_\_\_\_



**H. INTRODUCER DETAILS (optional)**

Name of the introducer : \_\_\_\_\_  
(Surname) (Name) (Middle Name)

Status of the Introducer :  Sub Broker  Remisier  Auth. Person  Existing Client  Others \_\_\_\_\_

Address and Phone No. of the Introducer : \_\_\_\_\_  
\_\_\_\_\_ Sign. of the Introducer \_\_\_\_\_

**I. NOMINATION DETAILS (for individuals only)**

I/We wish to nominate  I/We do not wish to nominate

Name of the Nominee : \_\_\_\_\_

Relationship with the Nominee : \_\_\_\_\_

PAN of Nominee : \_\_\_\_\_ Date of Birth of Nominee : \_\_\_\_\_

Address and Ph. No. of the Nominee : \_\_\_\_\_  
\_\_\_\_\_

If Nominee is a minor, details of guardian :

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

Address and Ph. No. of Guardian : \_\_\_\_\_  
\_\_\_\_\_

Sign. of Guardian \_\_\_\_\_

**WITNESSES (Only applicable in case the account holder has made nomination)**

Name \_\_\_\_\_ Name \_\_\_\_\_

Signature \_\_\_\_\_ Signature \_\_\_\_\_

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

**DECLARATION**

1. 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.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.



\_\_\_\_\_  
Signature of Client / All Authorized Signatory (ies)

Place \_\_\_\_\_

Date \_\_\_\_\_

**FOR OFFICE USE ONLY**

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

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

**For NCJ Share & Stock Brokers Ltd.**

\_\_\_\_\_  
Signature of the Authorised Signatory

Date \_\_\_\_\_

Seal / Stamp of the Stock Broker

**1. Refusal of orders for penny / illiquid stock**

NCJ Share & Stock Brokers Ltd. May at his discretion restrict trading in penny stock by the client. A stock that traded at a relatively lower price or at a price which is less than its face value, is treated as penny stock, Penny stocks have a small market capitalization due to unsound fundamentals, Highly illiquid, small volume and high chances of price manipulations. The Exchanges from time to time provide a list of such securities categorized as "illiquid securities". NCJ Share & Stock Brokers Ltd. may at its discretion or based on directives of the exchanges also restrict trading in such illiquid securities from time to time.

Clients shall not trade in securities places in the Z group (as notified from time to time by the Exchanges/Regulations). Further intraday trading in securities in the T, TS, BE or such other group as notified by Exchanges / NCJ Share & Stock Brokers Ltd. from time to time shall be prohibited. Dealers / sub brokers of Bezel may refuse to execute orders of the clients for trading in penny stocks. NCJ Share & Stock Brokers Ltd. shall have the prerogative to place such restrictions, Notwithstanding the fact that the client has Adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities/ contracts through NCJ Share & Stock Brokers Ltd. itself.

Depend on the market conditions and RMS policy of the company, NCJ Share & Stock Brokers Ltd. shall not be liable for any refusal / cancellation of orders for trading in penny stocks/other securities and the Client shall indemnify NCJ Share & Stock Brokers Ltd. in respect of any loss caused to "NCJ Share & Stock Brokers Ltd." by virtue of the Client trading in penny stocks.

**2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits ( such as broker level/ market level limits in security specific / volume specific exposures etc.) , and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on

account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The stock broker is required only to communicate / advise the parameters for the calculation of the margin / security requirements as rate(s) / percentage(s) of the dealings, through anyone or more means or methods such as post / speed post / courier / registered post / registered A.D / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameters for margin / security requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of security) on his / her / its own and provide the required / deficit margin / security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and /or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to



ascertain beforehand the margin / security requirements for his/ her /its orders / trades / deals and to ensure that the required margin / security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she / it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim /loss/ damage arising out of the non availability /shortage of margin /security required by the stock broker & / or exchange & /or SEBI.

The stock broker is entitled to vary the form (Le., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage of the margin & / or security required to be deposited / made available, from time to time.

The margin / security deposited by the client with the stock broker are not eligible for any interest.

The stock broker is entitled to include / appropriate any / all payout of funds & / or securities towards margin / security without requiring specific authorizations for each payout.

The stock broker is entitled to transfer funds &/ or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the stock broker. The client also agrees and Authorize s the stock broker to treat / adjust his/ her / its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.

The stock broker is entitled to disable / freeze the account & / or trading facility / any other service. facility, if, in the opinion of the stock broker, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

### 3. **Applicable brokerage rate**

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

**a. For Cash Market Segment:** The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Cash Segment segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less,

a maximum brokerage of 25 paise per share may be collected.

**b. For Option contracts:** Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract.

It is hereby clarified that brokerage charged on options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

### 4. **Imposition of penalty / delayed payment charges**

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at such rates as may be determined by the stock broker.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from the stock broker.

### 5. **The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues**

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from



the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or stock broker level / non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin /security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security & / or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities / shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (i.e. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

The stock broker is entitled to prescribe the date and time by which the margin / security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin / security expires. Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund / security or to meet the funds/margins/ securities pay in obligations for the orders / trades / deals of the client within the prescribed time and form, the stock broker shall

have the right without any further notice or communication to the client to take any one or more of the following steps:

- i. To withhold any payout of funds / securities.
- ii. To withhold / disable the trading / dealing facility to the client.
- iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.
- iv. To liquidate / square off partially or fully the position of sale & / or purchase in anyone or more securities / contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- v. To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

## **6. Shortages in obligations arising out of internal netting of trades**

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his / her/ its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.
- b. If securities cannot be purchased from market due to any reason whatsoever on T+3 day they can be covered from the market on any subsequent trading days. In case any reason whatsoever (any error or omission) any delay in covering of securities leads to higher losses, stock broker will not be liable for the same. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c. In cases of securities having corporate actions all cases



of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

#### **7. Temporarily suspending or closing a client's account at the client's request**

- i. The client may request the stock broker to temporarily suspend his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and/or other obligation.
- ii. The stock broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

#### **8. De-registering a client**

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- vii. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;

- ix. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;
- xi. If the Client is in breach of any term, condition or covenant of this Agreement;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

#### **Client Acceptance of Policies and Procedures stated hereinabove:**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/mediator etc.



**BROKERAGE SLAB (Subject to Change without Notice)**

**CASH SEGMENT**

Brokerage Slab	Slab %	Minimum Paise	One Side / Both Side
Delivery Based			
Daily Square up			

**FUTURE & OPTIONS SEGMENT**

Brokerage Slab	Slab %	Minimum Per Lot	One Side / Both Side
Future			
Option			

**CURRENCY DERIVATIVE SEGMENT**

Brokerage Slab	Slab %	Minimum Per Lot	One Side / Both Side
Future			
Option			

**DISCLOSURE INFORMATION (FOR NCJ SHARES & STOCK BROKERS LTD.)**

To,

.....  
.....  
.....

Sir,

This is to inform you that we do Client based trading and Pro-Account Trading in National Stock Exchange of India (NSE) / Bombay Stock Exchange Ltd. (BSE)

Thanks and best regards

for **NCJ Shares & Stock Brokers Ltd.**

Authorized Signatory / Director

-----  
I acknowledge the receipt of information given above by NCJ Share & Stock Brokers Ltd. that they do Client base trading and Pro-account trading.

 \_\_\_\_\_

Signature of Client :

(Note: To be signed by person himself/herself not to be signed by his/her attorney/Authorized person etc.)

# **DOCKET - B**

**NON-MANDATORY DOCUMENTS**



## LETTER OF AUTHORITY

To,

### **NCJ SHARE & STOCK BROKERS LTD.**

Regd. Office : 1st Floor, Jwala Mansion, 4/2B, Asaf Ali Road, New Delhi - 110 002

Ph.: 011-23253694, 23270976, 23273711, 23277686 Fax: 011-23286082

Dear Sir,

### **Sub: Letter of Authority - CASH, F&O and Currency Derivative Segment of NSE / BSE / MCX-SX**

I/we dealing with you as client at NSE/BSE/MCX-SX in Cash, F&O and Currency Derivative Segment and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which I/We have given you in margin including the payout securities received by us for meeting margin / order obligation in any of the stock exchanges for meeting margin/ pay - in obligation on my/our behalf or for giving the same as margin to the any of the Stock Exchanges or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or both the Exchanges unless I/We instruct you otherwise. I/we also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances, if any, in my account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
7. We request that you may send/dispatch us contract notes/other documents through e-mail on my/our designated e-mail address of I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not disputed on the same.
8. I/We will inform you the change of my/our email: ID, if any, in future either by regd. Post or through a digitally signed e-mail.
9. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc., these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, nonavailability or malfunctioning of your System or Service for any reason whatsoever;
10. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without you prior approval.
11. I/We am/are agreeable for inter-settlement transfer of securities towards settlement.
12. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
13. All fines/penalties and charges levied upon you due to my acts / deeds or transaction may be recovered by you from my account.
14. I have a Trading As well as depository relationship with NCJ SHARE & STOCK BROKERS LTD. Please debit the charges relevant with depository services from my trading account on monthly basis. I also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason.

Yours faithfully,

 \_\_\_\_\_

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

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

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

**RUNNING ACCOUNT AUTHORISATION**

To,

**NCJ SHARE & STOCK BROKERS LTD.**

Regd. Office : 1st Floor, Jwala Mansion, 4/2B, Asaf Ali Road, New Delhi - 110 002

Ph.: 011-23253694, 23270976, 23273711, 23277686 Fax: 011-23286082

I/We are dealing through you as a client in Cash Segment and / or Future & Option Segment and / or Currency Derivative Segment & in order to facilitate case of operations and upfront requirement of margin for trade. I/We authorize you as under.

However in terms of SEBI Circular number MIRSD/ SE / Cir-19/2009 dated 3rd December, 2009 this authorization is to be renewed every year. Hence these instructions are being given voluntarily on ..... day of ..... months 20..... year. I am aware that these Instructions can be withdrawn in full or in part at any time by giving written intimation duly acknowledged by NCJ Share & Stock Brokers Ltd. at 1st Floor, Jwala Mansion, Asaf Ali Road, New Delhi - 110 002. I/We am aware that this said revocation will take effect after the completion of pending obligations in respect of margin and inter-exchange/segment account transfer etc.

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s) Clearing corporation unless I/We instruct you otherwise in writing.
2. I/We request you to retain securities & Funds with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/We instruct you to transfer the same to my/our account in writing.
3. I/We request you to settle my fund and securities account  Quarterly or  Monthly or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
6. The running account authorisation provided by me/us shall continue and remain valid until it is revoked by me/us anytime in writing.

Thanking You,  
Yours Faithfully

 \_\_\_\_\_

Signature with date

Name : .....

**CLIENT DEFAULTER DECLARATION**

I/We, \_\_\_\_\_ having PAN No. \_\_\_\_\_ do hereby declare that I/We have not been involved in any terrorist activity and I/We have not been declared as defaulter or my/our name is not appearing in defaulter database as per SEBI/Various Exchanges / Regulatory bodies / CIBIL (Credit Information Bureau of India Ltd.) etc.

I/We further declare that the above mentioned declaration / statement is true and correct.

 \_\_\_\_\_

Signature

Client Name : .....

Client Code : ..... Date : .....

[Note: To be signed by person himself / herself not to be signed by his / her attorney / Authorized person etc.]

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTES**

To,  
**NCJ SHARE & STOCK BROKERS LTD.**

Regd. Office : 1st Floor, Jwala Mansion, 4/2B, Asaf Ali Road, New Delhi - 110 002  
Ph.: 011-23253694, 23270976, 23273711, 23277686 Fax: 011-23286082

I/We have been / shall be dealing through you as my / our broker on the Cash Segment and/ or Futures & Options Segments and / or Currency Derivative Segment. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you. As my / our broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

I/ We understand that, I / we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/ we hereby opt for receipt of contract notes in electronic form. I /We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account(s) / email id on your record for sending the contract notes to me / us.

- 1 .....
- 2 .....


I/ We agree not to hold you responsible for late / non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I/ we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt/ delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) / email id(s).

In case , in any of the above segments / exchanges due to any reason, whatsoever, if you want to send contract notes in physical form, I / we here by permit you to send the same in physical mode.

I/We understand that I/we am/are required to intimate any change in the email id/ email account mentioned herein above needs to be communicated by me through a duly signed request letter in original to you, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,  
Yours faithfully,

 \_\_\_\_\_  
Signature with date

Name : .....

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ Authorize d person etc. ]

**DECLARATION FOR NAME MISMATCH**


I hereby declare that

- 1. My name mentioned in PAN Card is \_\_\_\_\_
- 2. In additional I D Proof i.e. Voter Id / Passport / Driving License it is \_\_\_\_\_
- 3. In Bank A/c No. \_\_\_\_\_ it is \_\_\_\_\_
- 4. In \_\_\_\_\_ is this \_\_\_\_\_

Further I declare that the names mentioned in above details document pertains to me, therefore I request my account and make all payouts in the same name as mentioned in my bank proof.

Thanks,

Name of the Client : ..... Date : .....

 \_\_\_\_\_  
Signature

## ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document :-

### PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18,2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23,2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec12of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

Signature  \_\_\_\_\_

Name : .....





## **NCJ SHARE & STOCK BROKERS LTD.**

**Member : National Stock Exchange of India Ltd. (CM and F&O Segment)**

SEBI Regn. No.: INB 231295636, INF 231295636, TM Code No.: 12956

**Member : Bombay Stock Exchange Ltd. (CM and F&O Segment)**

SEBI Regn. No.: INB 011192037, INF 011192037, TM Code No.: 519

**Member : MCX Stock Exchange Ltd. (Currency Derivative Segment)**

SEBI Regn. No.: INE 261295636, TM Code No.: 34600

### **Regd. Office :**

1st Floor, Jwala Mansion, 4/2B, Asaf Ali Road, New Delhi - 110 002  
Ph.: 011-23253694, 23270976, 23273711, 23277686, 32444603 Fax: 011 - 23286082  
E-mail : ncjshare\_519@yahoo.co.in  
Website : www.ncj.co.in

### **Mumbai Office :**

525, 5th Floor, Pheeroj Jeejibhai Tower, Dalal Street, Fort, Mumbai-400001  
Ph.: 022-22722666, Telefax : 022-22721869



**ACKNOWLEDGEMENT**

To,

**NCJ SHARE & STOCK BROKES LTD.**

Dated :.....

Regd. Office : 1st Floor, Jwala Mansion, 4/2B, Asaf Ali Road, New Delhi - 110 002

Ph.: 011-23253694, 23270976, 23273711, 23277686 Fax: 011-23286082

I/We hereby acknowledge the receipt of duly executed copy of Right and Obligations, Risk Disclosure Document & Guidance Note with duly executed copy of KYC and other documents. Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct. I/We acknowledge that the other details related to my/our account are as under:

Name..... Address.....

.....Trading Code.....

UCC..... My Email Id.....



\_\_\_\_\_

(Signature of Client)