

Client code allotted: _____

ACCOUNT OPENING KIT

J.G.A.SHAH SHARE BROKERS **PVT.LTD.**

Regd.Office: 1109,P. J. Tower, Dalal Street, Fort, Mumbai - 400 001
Ph: 67522021, Fax: 67522022, Website: jgashah.com

Registration no. of Member and contact details of Stock Exchanges (for grievance and dispute)

Sr.	Details	BSE	NSE	MSEI	MCX	CDSL
1	Clearing Number	202	09952	33800	55970	26600
2	SEBI registration	INZ000163333				IN-DP-170-2002
3	Phone	22-22728097	22-26598190	22-61129028	22-67318888	18002005533
	Email	is@bseindia.com	ignse@nse.co.in	ismum@msei.in	ismum@mcxindia.com	complaints@cdslindia.com

Contact details of key officials: (for grievance and dispute)

Name	Designation	Phone	Fax	E-mail Id:
Deepak Chheda	Compliance Officer	91-022-67522021	91-022-67522022	deepak@jgashah.com
Siddharth Shah	Designated Director	91-022-67522021	91-022-67522022	siddharth@jgashah.com

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1*	Trading Account related details	Document captures the additional information (over and above what is provided in KRA form) about the constituent relevant to trading account and an instruction/check list.	3-4
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).	5-10
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	11-14
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	15-16
5	Policies and Procedures	Document describing significant policies and procedures of the stockbroker.	17-20
6*	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchanges.	21
7*	SMS & Email	Document relating to SMS & E-mail alerts to Investor on carrying out any trading transactions	22
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & CDSL FOR OPENING DEPOSITORY ACCOUNT			
8*	Additional KYC Form for opening Demat Account	Document captures the additional information (over and above what is provided in KRA form) about the Beneficial owners (BOs) relevant to holding shares in Depositories Account.	23-26
9	Rights and Obligations	Document stating the Rights & Obligations of BOs and Depository Participant (DP) for holding shares in Depositories Account.	27-30
10*	SMS & Email	Document relating to SMS & E-mail alerts to Investor on carrying out any depository transactions.	31-32
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER AND/OR DP			
11*	Running account authorization:	Document of Authority by client to the Member to maintain a running ledger account.	33
12*	Letter for standing instructions / authorizations:	Document of Various operative/standing instructions and authorizations to the Member for day to day running of the account.	34
13*	Acknowledgement Receipt	Acknowledgement Receipt given by clients/BOs acknowledging receipt of copies of full KYC documents.	35

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We have given/sent him a copy of all the KYC documents. 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. 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.

Date: _____

For J.G.A.Shah Share Brokers Pvt.Ltd.

J.G.A.SHAH SHARE BROKERS PVT.LTD.

Regd.Office: 1109, P. J. Tower, Dalal Street, Fort, Mumbai – 400 001

Trading Account Related Details for Individuals & Non-individuals

A. Bank Account Details

Bank Name:	MICR No.:	
Branch/Address:	IFSC Code:	
Type of Account: Current/Savings/Others	Account No.	

B. Depository Account Details : NSDL/CDSL

DP Name	DP ID	
Beneficiary Name	Beneficiary ID (BO ID)	

C. Trading Preferences

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

Segment/Exchange	BSE	NSE	MCX-SX
Capital Market			
Derivative (F & O)			
Currency			

If, in future, the client wants to trade on any new segment/new exchange, the stockbroker should take separate authorization/letter from the client.

D. 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: _____

E. Dealings Through Sub-Brokers And Other Stock Brokers

- If client is dealing through the sub-broker/ Remesier/ Authorized Participant (AP), provide the following details:

Name	SEBI/Exchange No.	
Address:		
Phone/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			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker:			

F. Other Details

Gross Annual Income : (Please tick)		Below Rs.1 Lakh		1- 5 Lakhs	5–10 Lakhs	10–25 Lac	> 25 Lakhs
Networth In Rs.					as on (date)		
Occupation (Please tick)	Professional	Student	Govt. Service	Business	Private Service sector		House wife
	Agriculturist	Retired	Public sector	Forex Dealer	Others(Please specify)		
Please tick, if applicable		Politically Exposed Person			Related to Politically Exposed Person		
Any other information							

G. Additional Details

Mode of receipt of Contract Note	Physical Electronic (ECN)
If ECN, Please Specify your Email id	
Whether you wish to avail of the facility of internet trading/ wireless technology	
Number of years of Investment/Trading Experience:	
Any other information:	

- 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		Please affix passport size photograph and sign over it.
Designation		
PAN/UID		
Residential Address		
Signature		

Name		Please affix passport size photograph and sign over it.
Designation		
PAN/UID		
Residential Address		
Signature		

H. Introducer Details (Optional)

Name of the Introducer:	
Address and phone no.:	
Status of the Introducer:	Sub-broker/Remisier/Authorized Person/Existing Client/Others.....
Signature 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 phone no. of the Nominee:			

If Nominee is a minor, details of guardian:

Name of guardian:	
Address and phone no. of Guardian:	
Signature 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 stockbroker 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.

Place:

Date:

Signature of Client/ (all) Authorized Signatory

J.G.A.SHAH SHARE BROKERS PVT.LTD.

Regd.Office: 1109, P. J. Tower, Dalal Street, Fort, Mumbai – 400 001

Rights And Obligations Of Stock Brokers, Sub-Brokers and Clients as Prescribed By SEBI And Exchanges

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stockbroker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stockbroker shall take steps to make the client aware of the precise nature of the Stockbroker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is

permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which

may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Internet & Wireless Technology Based Trading Facility Provided By Stock Brokers To Client

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service

or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

J.G.A.SHAH SHARE BROKERS PVT.LTD.

Regd.Office: 1109, P.J. Tower, Dalal Street, Fort, Mumbai – 400 001

Risk Disclosure Document For Capital Market And Derivatives Segments

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

J.G.A.SHAH SHARE BROKERS PVT.LTD.

Regd.Office: 1109, P. J. Tower, Dalal Street, Fort, Mumbai – 400 001

Guidance Note - Do's And Don'ts For Trading On The Exchange(S) For Investors

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.exchange.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization, payout of funds or delivery of securities as the case may be, may not be made to you within one working day from the receipt of payout from the Exchange. Thus the stock broker may maintain a running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as

the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

J.G.A.SHAH SHARE BROKERS PVT.LTD.

Regd.Office: 1109, P. J. Tower, Dalal Street, Fort, Mumbai – 400 001

POLICIES & PROCEDURES

Policies and Procedures adopted by J.G.A.Shah Share Brokers Pvt.Ltd. (shortly 'JGA') in respect of clients trading in any segments of BSE, NSE or any other Exchange of which it acquires membership.

A. Refusal of orders for penny stocks: (A stock that trades at a relatively low price and low market capitalization)

JGA does not encourage trading in penny stocks or securities and reserves its right to refuse orders in such securities from the clients desiring to deal in such shares, stocks, securities.

Under exceptional circumstances and considering merits on case-to-case basis, trading in penny stocks category may be allowed to client only on delivery basis. The trading limits will be allowed subject to the client making margin payments, history of the client, trading platform, intention of doing the trades. The said additional trading limits may not be allowed on a regular basis to the client.

However if it is observed that client is indulging in trading activities only in penny stocks, he may be denied trading in penny stock. If however client is carrying on any insider trading activity, the client account may be immediately suspended without any reasons being given to the client.

Further client's traded volumes vis-à-vis market volumes will be considered and certain percentage of market volumes or such market volume as decided by JGA from time to time, will be allowed, subject to due diligence of the risk management system (RMS) and Compliance department of JGA.

B. Setting up client's exposure limits:

Exposures shall be allowed based on the clear credit balance in client's ledger + stocks lying in beneficiary account + margins (securities and cash) with JGA. However, JGA may at its own discretion allow additional exposure based on credit balances in client account/cash margins/collaterals deposited by the client or client's track record.

Further the client agrees not to take any fresh positions in securities/contracts in F&O under ban period as and when put by the exchanges. The client shall bear the penalty, if any, charged by the exchange on such trading.

C. Imposition of penalty/delayed payment charges by Member-NSE-BSE:

JGA will apply delayed payment charges (DPC) at the rate of 15 % p.a. on a daily basis from the settlement date on all outstanding obligations. The client understands that such DPC is deterrent in nature & as such JGA can not be assumed to be financing/funding the client's settlement obligations.

JGA reserves its right to change the DPC rate or waive the same at its sole discretion without assigning any reason therefore. Any change in DPC shall be communicated to the Client/s at least 7 days in advance.

D. Right to sell clients' securities or close clients' positions

JGA will have the right (without any obligation on JGA to do so) to close out all open positions or sell client's securities, without any notice to client, as and when the client defaults in his settlement/sale delivery/margin/mark to market (MTM) obligations in any segment of the exchanges. The close out/selling will be to the combined extent of shortages in Margins/MTM or settlement obligations on all segments of exchanges.

E. Internal Shortages:

In case of an internal shortage in any scrip in the same settlement where both buyer & seller are clients of JGA and seller does not deliver shares for his pay-in obligation than the short delivering client will be asked to

purchase short delivery from market on T + 2 or latest by T + 3. Such purchases will be debited to short delivering client and delivery so received will be given to buyer on pay-out. If short delivering client fails to do so than JGA will initiate the same process.

If securities cannot be purchased from market due to any force majeure condition, then all shortages not bought-in are deemed to be closed out and short delivering seller client will be debited as per then prevailing rules regarding closing out of unsettled obligation of concerned Exchange. Likewise the receiving client will be credited in the same manner.

F. Restrictions or Regulations on Dealings of clients:

JGA shall decide, from time to time, the volume of business, which the client shall be allowed to transact. However, JGA shall have absolute discretion of reducing/restricting or zeroing the volumes of the client without any prior intimation/notice to the client inter alia, in particular F&O segment having regards to:

- Failure by the client to maintain the applicable collaterals/margins with JGA as per the Byelaws, Rules and Regulations and Circulars of the respective Stock Exchanges, Guidelines and directives of SEBI.
- The client may not be allowed to take fresh positions if any client's intra day mark to market loss crosses 70% of the margin. Client may be asked to close all the position if the intra day mark to market loss crossed 80% of the margin.
- Delays by the client in meeting its obligations/dues relating to the business/dealings done by the client.
- Observing/discovery any abnormal behavior/action/deed/trading pattern of the client's dealing with the member for e.g. Cheque bouncing, non fulfillment of sale obligation, any regulatory action taken by any of the regulations, ban of the client by SEBI etc.
- Any restrictions in relation to volume of trading/outstanding business or margins stipulated by Stock Exchanges.
- Volatility in the market/market segments of respective stock exchanges
- In view of impending price sensitive announcements by the concerned Exchanges, Listed Companies or Government announcements.
- Political/financial instability in the country or otherwise.
- Presence of any other price sensitive factors in the economy
- In scrips which are re-listed and where the circuit filters are not applicable on the day of re-listing.
- Orders for buying/selling 1 (one) share may not be allowed except for high value scrips after considering the client's history and trading pattern.

G. Suspending a client:

JGA may send show-cause notice to a client and/or temporarily suspend a client for further trading and/or temporarily withheld funds & securities payouts, if JGA has reasons to take such action which may arise due to the alerts generated by its Risk Management/Surveillance System and demand reasons/explanations from such client. The account of such client may be suspended till such time explanation found satisfactory by JGA is not received.

JGA shall temporarily suspend or close a client's account at the request of client within 24 hours of having received client's such request.

H. De-registering a client:

JGA will de-register a client without any prior intimation/notice, with regards to:

- The Client has found to be of unsound mind by a court of competent jurisdiction and the findings is in force
- The Client becomes un-discharged insolvent

- The Client applies to be adjudicated as an insolvent
- The Client has been convicted by a Court of any offence involving moral turpitude
- The client being declared a defaulter by any of the regulatory bodies of the country or under any law being in force
- In the event of JGA becoming aware of any proceedings being initiated against the client by any of the regulatory bodies of the country or under any law being in force or the client being involved in any criminal proceedings or any illegal business or JGA becoming aware of the client's past offences which are illegal or prohibited by the regulatory bodies of the country or under any law being in force.
- The death of the client.
- The depository account with member is closed and no alternative depository account details are provided in writing to JGA.
- The client makes a voluntary written request to de-register itself/himself.
- In the event of client defaulting in meeting its obligations.
- On the specific written directions of any Exchange or statutory/legal /Regulatory Authority.

I. Policy for Dormant Accounts:

An account (irrespective whether having debit or credit balance) shall be classified as dormant account in case there are no transactions (trade, payment, receipts) for a period in excess of 6 Months from the last transaction date. The following limitation / restriction shall apply to a dormant account unless the same is re-activated:

- Account shall be frozen for further transaction
- Pay-out of funds and/or securities will be retained by JGA.

In the interest of the clients, as & when any account has been classified as dormant accounts as above the client shall be informed through either direct phone or mail or letter to the contact details/address last available with the company within seven days of such classification.

A dormant account can be re-activated upon request of the client. The company may levy Rs 100/- as charge for re-activation, subject to waiver if authorized.

J. Applicable brokerage rate:

Brokerage will be charged as may be agreed with the client from time to time subject however to the ceilings prescribed by SEBI/Exchanges.

K. Pro Account trading:

JGA undertakes proprietary trading and as a policy declares to all the clients that they undertake OWN/ PRO account trading.

L. Investor grievance email ID:

JGA has designated E-mail ID grievance@jgashah.com which should be availed by the client for conveying his grievances. Client seeking any clarification on this subject not covered in this may use above E-mail ID. In case of any dispute, please write to JGA at the above mentioned E-mail ID within 7 days.

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J.G.A.SHAH SHARE BROKERS PVT.LTD.

Regd.Office: 1109, P.J. Tower, Dalal Street, Fort, Mumbai – 400 001

Tariff Sheet

A. Brokerages:

Segment			Minimum Rs.	Percentage
Capital market	Trading	1 st side		
		2 nd side		
	Delivery			
	Trade to trade			
F & O	Futures	1 st side		
		2 nd side (same day)		
		2 nd side (any day)		
	Delivery			
	Options	1 st side		
		2 nd side (same day)		
		2 nd side (any day)		
Currency	Futures	1 st side		
		2 nd side (same day)		
		2 nd side (any day)		
	Options	1 st side		
		2 nd side (same day)		
		2 nd side (any day)		

B: Statutory Levies:

Type	Basis	Rate
GST	On brokerage	At actual
Security Transaction tax	On turnover	At actual
Stamp duty	On turnover	At actual
SEBI fees	On turnover	At actual

C: Other charges:

Cheque return charges	At actual
Penalty/charges levied by Exchange/SEBI	At actual

D: Depository Charges

Type of transaction	Individual/HUF (Rs.)	Corporate (Rs.)
Annual Maintenance Charges	300.00	1000.00
On Market/Off Market/Pledge	30.00	30.00
Demat/Remat	100.00 per DRF+2.00 per certificate	100.00 per DRF+2.00 per certificat

Signature of Client(s)

J.G.A.SHAH SHARE BROKERS PVT.LTD.

Regd.Office: 1109,P.J. Tower, Dalal Street, Fort, Mumbai – 400 001

To,

Sub: SMS and E-mail alerts to investor by stock Exchanges.

Dear client,

SEBI vide their circular no.CIR/MIRSD/15/2011 dated 2nd August 2011, has mandated Stock Exchanges to send details of transaction to the investor, by end of the day, through SMS and E-mails.

Kindly fill up following information and return the same to us to implement above circular.

Regards,

For J.G.A.Shah Share Brokers Pvt.Ltd.

Deepak Chheda
(Compliance officer)

To,
J.G.A.Shah Share Brokers Pvt.Ltd.
1109, P. J. Tower,
Dalal street, Fort,
Mumbai – 400001

Sub: SEBI Circular no. CIR/MIRSD/15/2011 dated 2nd August 2011

Dear Sir,

☐ I/We do not want SMS/Email alerts on my/our transactions carried out by you.

☐ I/We want alerts on my/our transaction carried out by you. Details are as follows.

Sr.	Options	Yes/No	If yes, please give details of your email and mobile number
1	SMS		
2	Email		

Name of client: _____ Client code: _____

Signature of client: _____

J.G.A.SHAH SHARE BROKERS PVT.LTD.

Depository Participant of Central Depository Services (I) Ltd.

Depository Participant – Id: 26600
DP SEBI Reg. No.:IN-DP-CDSL-170-2002

1109, 11th Floor, P. J. Tower ,
Dalal Street, Fort, Mumbai – 400 001

CDSL

Additional KYC Form for Opening Demat Account (Common)



(To be filled by the Depository Participant)

Application No.												Date															
DP Internal Reference No.																											
DP ID	1	2	0	2	6	6	0	0	Client ID																		

(To be filled by the applicant in block letters in English)

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

Sole/First Holder		PAN	
Second Holder		PAN	
Third Holder		PAN	
Guardian name (in case of minor)		PAN	
Relationship with applicant			

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

Type of Account in case of Individual (Please tick whichever is applicable)

Status	Sub – Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading <input type="checkbox"/> Minor <input type="checkbox"/> Others
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non – Repatriable <input type="checkbox"/> NRI – Depository Receipts
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts

Type of Account in case of Non Individual (Please tick whichever is applicable)

Status	Sub – Status
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify)	To be filled by the DP
SEBI Registration No. (if applicable)	SEBI Registration Date
RBI Registration No. (if applicable)	RBI Approval Date
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)

Bank Details (Dividend Bank Details)

Do you wish to receive dividend / interest directly in to your bank account given below through ECS?						<input type="checkbox"/> Yes <input type="checkbox"/> No			
Bank Code (9 digit MICR code)									
Bank Name									
Branch									
Bank Address									
City				State			PN		
Account number									
Account type	<input type="checkbox"/> Saving			<input type="checkbox"/> Current			<input type="checkbox"/> Cash Credit		

Other Details:

Gross Annual Income : (Please tick)	<input type="checkbox"/> Below Rs.1 Lakh	<input type="checkbox"/> 1- 5 Lakhs	<input type="checkbox"/> 5-10 Lakhs	<input type="checkbox"/> 10-25 Lac	<input type="checkbox"/> > 25 Lakhs	
Networth In Rs.	as on (date)					
Occupation (Please tick)	<input type="checkbox"/> Professional	<input type="checkbox"/> Student	<input type="checkbox"/> Govt. Service	<input type="checkbox"/> Business	<input type="checkbox"/> Forex Dealer	<input type="checkbox"/> House Wife
	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Private sector	<input type="checkbox"/> Public sector	<input type="checkbox"/> Others (specify)	
Please tick, if applicable	Politically Exposed Person		Related to Politically Exposed Person			
Any other information						

Additional Details

Account Statement	<input type="checkbox"/> As per SEBI Regulations <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly				
I / We instruct the DP to receive each and every credit in my / our account in accordance with regulation 42 (B) of SEBI (D&P) regulation.	<input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No				
I/We would like to receive the Annual Report <input type="checkbox"/> Both Physical and Electronic <input type="checkbox"/> Electronic <input type="checkbox"/> Physical (Tick the applicable box. If not marked the default option would be in Physical)					
I/We would like to opt for <input type="checkbox"/> Full service BO account <input type="checkbox"/> BSDA account					

SMS Alert Facility	<input type="checkbox"/> Yes MOBILE NO. +91 Refer to Terms & Conditions given as Annexure	<input type="checkbox"/> No
easi	<input type="checkbox"/> Yes. If yes, please contact your DP for details [Facility through CDSL's website: www.cdsindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	<input type="checkbox"/> No

For NRIs

Foreign Address										
City				State						
Country				PIN						
RBI Ref no.				RBI Approval date						

Clearing Members Details (To be filled by CMs only)

Name of the Stock Exchange									
Name of the CC / CH									
Trading Id									

Clearing Member ID	
--------------------	--

Nomination Details:

Nomination Registration No.		Dated	
-----------------------------	--	-------	--

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

- ☐ I/We do not wish to nominate any one for this Demat account (Strike out which is not applicable)
(Signatures of all account holders should be obtained on this form)
- ☐ I/We nominate the following persons who are entitled to receive security balances lying in my / our
account, particulars whereof are given below, in the event of the death of the Sole holder or the death of
all the Joint Holders.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
First Name			
Middle Name			
Last Name			
Address			
City			
State			
PIN			
Country			
Telephone No.			
Fax			
PAN			
UID			
Email			
Relationship with BO			

If nominee is minor, please fill up following

Guardian Details	Nominee 1	Nominee 2	Nominee 3
First Name			
Middle Name			
Last Name			
Address			
City			
State			
PIN			
Country			
Telephone No.			
Fax			
PAN			
UID			
Email			
Relationship of guardian with nominee			

Distribution of securities

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Percentage of allocation of securities			
Residual securities (please tick any one)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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.
Details of Witness:

	First Witness	Second Witness
Names of Witness		
Address of witness		
Signature of Witness		

Note: Two witnesses shall attest signature(s) / Thumb impression(s).

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

	First/Sole Holder or Guardian (in case of Minor)	Second Joint Holder	Third Joint Holder
Name			
Designation			
Signatures			

(Signatures should be preferably in black ink)

Additional information for OCBs

Foreign Address											
City					State						
Country					PIN						
Telephone No.					Fax						
E-mail ID											
Indian Address											
City					State						
Country					PIN						
Telephone No.					Fax						
E-mail ID											
Currency											
RBI Reference No.					RBI Approval Date						

Acknowledgement Receipt

Application No.:

Date:

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
---------------------------------	--

Name of Second joint Holder	
Name of Third joint Holder	

For J.G.A.SHAH SHARE BROKERS PVT.LTD.

J.G.A.SHAH SHARE BROKERS PVT.LTD.

Regd.Office: 1109, P. J. Tower, Dalal Street, Fort, Mumbai – 400 001

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by

sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

1. I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

2. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

3. I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

4. I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

5. I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID

1	2	0	2	6	6	0	0		0	0	0	0				
---	---	---	---	---	---	---	---	--	---	---	---	---	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+91											
-----	--	--	--	--	--	--	--	--	--	--	--

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

Email ID: _____

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

	Name	Relationship
Above Mobile number belongs to		
Above Email number belongs to		

Signatures _____ Sole / First Holder

_____ Second holder

_____ Third Holder

Place: _____

Date: _____

ALL EXCHANGES RUNNING ACCOUNT AUTHORIZATION

(This document is voluntary)

To,
J.G.A.Shah Share Brokers Pvt.Ltd.
1109, P. J. Tower,
Dalal street, Fort,
Mumbai – 400 001

Sub: My/Our request for running account & adjustments in my/our accounts

Respected Sir,

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

I/We understand that:

1. I/We am/are entitled to revoke above authorization at any time.
2. You will consider the balances in my/our running accounts in securities as also for funds available to you for the purpose of meeting my/our obligations for margin and any other obligation or dues to you
3. You shall transfer the funds / securities lying in my/our credit within one working day of the request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/ Clearing Corporation.
4. You shall settle my/our running account every month/quarter

Thanking You,

Date:

Sign in full:

Place:

Name in full:

Note: The authorization shall be signed by the client only and not by any authorized person on his behalf or any holder of the Power of Attorney.

Letter for standing instruction / authorisation:

(This document is voluntary)

J.G.A.Shah Share Brokers Pvt.Ltd.
1109, P. J. Tower,
Dalal street, Fort,
Mumbai – 400 001

Ref: My/Our dealing on Capital market and Derivative segment of the BSE and NSE

Respected Sir,

I/We have been fully appraised upfront by you about your work history and background of your Company, and that I/we have also satisfied myself/ourselves by verifying it from my/our other sources about the same. Likewise, apart from divulging the required particulars in KYC (Know Your Client) form I/we conveyed to you my/our financial status, my/our investment objective, my/our past investment experience & pattern, my/our risk appetite etc. Thereafter only I/we decided myself/ourselves to enter into the client/member Agreements for cash and Derivative segments of Bombay Stock Exchange (BSE) and Capital Market and Option and Future segments of the National Stock Exchange of India Ltd. (NSE).

Now I/we shall be dealing through you as my/our broker on the aforesaid segments. As my/our broker, I direct/authorize you to carry out trading /dealings on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my periodical verbal directions/authorizations.

1. I/We understand that you require written instructions for receiving/modifying or canceling orders. However, since it is not practical or convenient for me/us to give written instructions for every order. I/We hereby authorize you to kindly accept verbal instructions/orders in person or over phone by me/us or person(s) authorized by us (other person to be authorized only in case of non individual entities) and execute the same.
2. Since you are issuing Contract Notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from your Trading Terminal(s), unless otherwise requested by me in writing.
3. I/We authorize you to deposit / pledge my/our securities and/or funds whether deposited as collateral/Margin or permitted by me/us to be retained in running account etc. with any the Exchange/Clearing Corporation/Clearing House towards Margin/Collateral as also to meet shortfall in my/our funds/securities pay in obligation/auctions or assignment of contracts or any other liability arising out of any of my/our dealings with or through you. You are further, authorized to sell/liquidate these securities at the time and manner of your choice and as and when deemed fit by you in your absolute discretion to meet any shortfalls in my/our accounts or any other liability of mine/ours without any reference to me.
4. I/We am/are aware that you do Proprietary Account trading and I/we confirm the same.
5. Debit the charges if any payable by me/us as per your rules and regulations as amended from time to time.

6.

You are requested to follow the above-mentioned standing instructions until further written instructions.

Thanking you,

Date:

Sign in full:

Place:

Name in full:

Note: Client is authorized to score off points not applicable/acceptable by putting a cross (x) against relevant point or add against point no.6.

J.G.A.SHAH SHARE BROKERS PVT.LTD.

Regd.Office: 1109, P.J. Tower, Dalal Street, Fort, Mumbai – 400 023

Acknowledgment Receipt

Date:

Dear Sir,

Ref: Trading Client Code_____ BO A/c code: 120266000000_____

Kindly acknowledge the receipt of following documents.

1. Copy of entire Client Registration Form (KYC) and all other documents.

Thanking You.

Yours faithfully,
For J.G.A. Shah Share Brokers Pvt. Ltd.

Deepak Chheda
Compliance Officer

Received the above documents

Client Signature

Client Name :

We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We have given/sent him a copy of all the KYC documents. 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. 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.

Date: _____

For J.G.A.Shah Share Brokers Pvt.Ltd.
