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ACCOUNT OPENING FORM ADDENDUM – NON-MANDATORY (NON INDIVIDUAL)

Julius Baer Wealth Advisors (India) Private Limited

Registered & Main Office: 8th Floor, Mafatlal Centre, Nariman Point, Mumbai 400 021 India

SEBI Stock Broker Registration No.: INZ000008631, SEBI Depository Participant No.: IN-DP-117-2015, CIN: U65923MH2014PTC255743

Compliance Officer: Deepika Seth Email: deepika.seth@juliusbaer.com <http://www.juliusbaer.com/in> Tel.: +91 22 6176 0100 Fax: +91 22 6635 6110

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NETWORTH AND INCOME DETAILS

Assets	Total Assets	Total Liabilities
	Net Worth	Investable Assets
	Total Annual Income	

A) Standing instruction to invest surplus lying in my/our Bank a/c, MF units of Liquid Funds/Liquid ETF or redeem MF/Liquid ETF units to pay for margin/pay-in obligations

As a standing instruction to JBWA, in the capacity of our Power of Attorney holder, I/We authorize JBWA to invest/reinvest any surplus monies, after providing for the settlement of my/our securities transactions, including pay-in and margin obligations, if any, lying to the credit of my/our Bank Account in my/our name in units of the Liquid Scheme/Liquid ETFs of the Mutual Fund mentioned below:

* Name of the scheme _____

I/we also authorize JBWA to redeem Mutual Fund/Liquid ETF units of the above mentioned Mutual Fund Liquid Scheme/ETF held in my/our name to provide for margin obligation and/ or settlement of securities carried out on behalf of me/us, as per our instructions from time to time.

* Should you wish to change to any other Liquid Fund Scheme, please speak to your Financial Advisor and send a fresh letter of instruction requesting for the change.

B) Authority to place instruction with JBWA on my/our behalf:-

With reference to my account with JBWA I/we hereby authorise the following person(s) whose specimen signature(s) is/are appended here under:

Sr. No.	Name of Authorised Person	Telephone/Mobile and Email ID	Specimen Signature

1. To place orders/give instructions to JBWA for buying/selling of securities on my/our behalf.
2. To confirm written instructions given by me/us for asset transfer from my/our bank/demat account with JBWA (under POA) to my/our bank/Demat A/c. numbers registered in Schedule 1.

Yes No

3. To perform all such actions as may be deemed prudent, necessary and expedient for giving effect to the above mandate from time to time.

The above authority shall remain in force till such time as a fresh instruction in writing is furnished to JBWA for canceling or amending the same.

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C) E-Statement (Portfolio/Bank Statements & Other Client Communications except Digital Contract Notes)

I/We wish to receive below mentioned communications via email

1. Portfolio Statements
2. Bank Statements
3. Other Client Communications (like transaction reports, bank book, margin reports, regulatory updates, corporate communication etc) in respect of account maintained with JBWA

Email ID : _____

Alternative Email Id : _____

I/We do not wish to avail this facility

Family Access for Online

I/We authorize you to give online view access to Mr/Ms/M/s. _____
having Account Code _____ for my / our accounts as we belong to the same family or group.

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D) Information for reporting requirement under section 285BA of the Income-tax Act, 1961

Section 1 - Entity Identification

Name of the Entity : _____

Nature of business : _____
(refer Table 8 and mention Corresponding Code)

Country of Business : _____

(Please state names of countries from where entity is deriving/generating significant revenue/income. For e.g. If an entity is an exporter, country of business will be where the entity is generating maximum revenue from exports to such countries.)

Country of Incorporation : _____

Section 2 – Declaration of Tax residency

(If tax residency is only India, then please skip this section)

Please indicate the Entity's country of tax residence (if resident in more than one country please detail all countries and associated tax identification number and TIN issuing country).

Country/ies of Tax Residency	Tax Identification number (TIN)/ functional equivalent number	TIN/functional equivalent number Issuing Country	Document Type# attached(Tax Residence Certificate and/or TIN Card or others)	Valid till (dd/mm/yyyy)

#Please provide Documentary evidence for foreign country of tax residence and TIN

If Tax residency is USA, then is it a Specified US Person? (Please refer Table 2 for definition of "Specified US Person")	<input type="checkbox"/> Yes <input type="checkbox"/> No	If No, provide exclusion code from Table 2	
If Other than India and USA, then is it an Other Reportable Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If No, provide exclusion code from Table 3	

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Section 3 – Classification of Entity

a) Is the Entity a Financial Institution? Yes No If No, then please skip this section.

(“Financial institution” means a custodial institution, a depository institution, an investment entity, or a specified insurance company. Please refer Table 1 for terms used herein)

Reporting Financial Institution ?	Yes/No	If Yes, Provide GIIN	
Non-reporting financial Institution?	Yes/No	If Yes, provide category from Table 4	
Sponsored Investment Entity / Trustee Documented Trust?	Yes/No	If Yes, Name of the Sponsoring Entity/Trustee: GIIN of the Sponsoring Entity/Trustee	
Non- Participating Financial Institution?	Yes/No		
Owner documented Financial Institution?		If yes, each controlling person should fill details in Annexure A(Refer Table 7)	

b) Is the Entity a Non- Financial Entity (NFE):

1. Is it an Active NFE ? Yes No If No, then please skip this section.

Category of Active NFE (Please provide category from Table 5)	
If listed company, name of the stock exchange on which listed:	
If related entity of listed company, name of Company and name of the stock exchange on which listed:	

2. Is it a Passive NFE? Yes No If No, then please skip this section.

Category of Passive NFE (please provide category from Table 6)	
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If yes, each controlling person should fill details in Annexure A(Refer Table 7)

3. Is it a Direct Reporting NFE? Yes No If No, then please skip this section.

GIIN	
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Declaration and Undertakings

I / We certify that:

- a) The information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.
- b) The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- c) I/We permit/authorise JBWA to collect, store, communicate and process information relating to the Account and all transactions therein, by JBWA and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- d) I/We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self-certification alongwith documentary evidence.
- e) I/We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and JBWA would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India for the purpose or take any other action as may be deemed appropriate by JBWA if the deficiency is not remedied by us within the stipulated period.
- f) I/We hereby accept and acknowledge that JBWA shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me/us to JBWA.
- g) It shall be my/our responsibilities to educate myself/ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- h) I/We also agree to furnish such information and/or documents as JBWA may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i) I/We shall indemnify JBWA for any loss that may arise to JBWA on account of providing incorrect or incomplete information.
- j) I/We certify that I/we have the capacity to sign for the Entity as per CBDT rules/SEBI/RBI guidelines.

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Annexure A

(Please attach separate sheets for each Controlling Person)

Details of the Controlling Person:

Name			
Father's/Spouse Name			
Date of Birth			
Gender	<input type="checkbox"/> M - Male <input type="checkbox"/> F - Female <input type="checkbox"/> T - Transgender		
Occupation Type	<input type="checkbox"/> S- service (<input type="checkbox"/> Private sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)		
	<input type="checkbox"/> O-others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)		
	<input type="checkbox"/> B – Business <input type="checkbox"/> X- Not categorised		
PAN			
Place/City of Birth		Country of Birth	
Nationality	<input type="checkbox"/> IN – Indian <input type="checkbox"/> Others		

*Are you a U.S. Green Card Holder (Yes/No) _____

Address

Address Type : Residential/Business Residential Business Registered office Unspecified

Line 1 : _____

Line 2 : _____

Line 3 : _____

City/Town/Village: _____ State/UT : _____ Pin code : _____ Country : _____

Proof of Identity/Address

(Certified copy of any one of the following needs to be submitted)

A-Passport _____ Passport Expiry Date: _____

B-Voter ID Card _____

C-PAN Card _____

D-Driving License _____

Driving Licence Expiry Date: _____

E-UID (Aadhaar) _____

F-NREGA Job Card _____

Z-Other _____

Identification Number _____

Contact Details

Tel(off) : _____ Tel(Res): _____ Mobile: _____ Fax: _____

Email ID : _____

Controlling Person Type (please refer Table 7):

In case of legal person:	<input type="checkbox"/> Ownership	<input type="checkbox"/> Other means	<input type="checkbox"/> Senior Managing Official		
In case of legal Arrangement – Trust:	<input type="checkbox"/> Settlor	<input type="checkbox"/> Trustee	<input type="checkbox"/> Protector	<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Others
In case of legal Arrangement – Others :	<input type="checkbox"/> Settlor equivalent	<input type="checkbox"/> Trustee equivalent	<input type="checkbox"/> Protector equivalent	<input type="checkbox"/> Beneficiary equivalent	<input type="checkbox"/> Others equivalent
Unknown	<input type="checkbox"/> Unknown				

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Please indicate the Country of tax residence (if resident in more than one country provide details of all countries, associated tax identification number and TIN issuing country).

Country/countries of tax residency	Tax Identification number (TIN)/ Functional Equivalent Number	TIN /Functional Equivalent Number Issuing Country	Documentary Evidence enclosed for country of tax residence and TIN	Valid till (dd/mm/yyyy)

Declaration and Undertakings

I / We certify that:

- a) The information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.
- b) The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- c) I/We permit/authorise JBWA to collect, store, communicate and process information relating to the Account and all transactions therein, by JBWA and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- d) I/We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self-certification alongwith documentary evidence.
- e) I/We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and JBWA would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India for the purpose or take any other action as may be deemed appropriate by JBWA if the deficiency is not remedied by us within the stipulated period.
- f) I/We hereby accept and acknowledge that JBWA shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to JBWA.
- g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- h) I/We also agree to furnish such information and/or documents as JBWA may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i) I/We shall indemnify JBWA for any loss that may arise to JBWA on account of providing incorrect or incomplete information.
- j) I/We certify that I/we have the capacity to sign for the Entity as per CBDT rules/SEBI guidelines.

Authorised Signature:xx_____

Name:_____

Date: (dd/mm/yyyy):_____

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Annexure providing information on the terms used in form pertaining to reporting requirements under section 285BA of the Income-tax Act, 1961

**Table 1
Terms used in the self-certification**

Reporting Financial Institution	A custodial institution, a depository institution, an investment entity, or a specified insurance company which is registered with US IRS and obtained a Global Intermediary Identification Number (GIIN).
Custodial Institution	Any entity that holds, as a substantial portion of its business, financial assets for the account of others
Depository Institution	Any entity that accepts deposits in the ordinary course of a banking or similar business
Investment Entity	any entity that:
	(A) Primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer, namely:- (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or (ii) Individual and collective portfolio management; or (iii) Otherwise investing, administering, or managing financial assets or money on behalf of other persons;
	(B) The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a financial institution.
Specified Insurance Company	Any entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract
Owner Documented Financial Institution	It is a Financial Institution which does not report to the US IRS. Owner documented FI are generally small investment entities.
Direct Reporting Non-Financial Entity	It is a Passive NFE but will not share the details of the controlling persons with the financial institution it maintains accounts with but will report directly to US IRS and so its GIIN should be taken
Related Entity	An entity is a “related entity” of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than fifty per cent. of the votes and value in an entity

TABLE 2

“Specified U.S. person” means a U.S. Person, other than the persons referred to in sub-clauses (i) to (xiii) of clause (ff) of Article 1 of the FATCA agreement;

“U.S. person” means,-

- (a) an individual, being a citizen or resident of the United States of America ;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
 - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

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Sub-clauses (i) to (xiii) of clause (ff) of Article 1 of the India –US FATCA agreement are stated below:

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (iii) the United States or any wholly owned agency or instrumentality thereof;
- (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

Exclusions from being treated as Specified US Persons:

Sr.No.	Type of entity
1	a corporation the stock of which is regularly traded on one or more established securities markets;
2	a member of the same expanded affiliated group of the listed company,
3	the United States or any wholly owned agency or instrumentality thereof
4	US State or Territory, any political subdivision, or any wholly owned agency or instrumentality
5	501(a) Entity or 7701(a)(37) individual retirement plan
6	bank as defined in section 581 of the U.S. Internal Revenue Code;
7	real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code
8	regulated investment company or entity under the Investment Company Act of 1940
9	any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
10	any tax exempt trust
11	a registered dealer in securities, commodities, or derivative financial instruments
12	a broker as defined in section 6045(c) of the U.S. Internal Revenue Code;
13	any tax-exempt trust under a plan that is described in section 403(b) or section 457(g)

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TABLE 3
Exclusions from being treated as Other Reportable Accounts

Sr.No.	Type of entity
1	a corporation, the stock of which is regularly traded on one or more established securities markets
2	any corporation that is a related entity of a corporation mentioned in item1
3	a Governmental entity
4	an International organisation
5	a Central bank
6	a financial institution

TABLE 4
Non-reporting Financial Institution

Sr.No.	Type of entity
1	a Governmental entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a specified insurance company, custodial institution, or depositors institution.
2	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental entity, International Organization or Central Bank;
3	a non-public fund of the armed forces, Employees' State Insurance Fund, a gratuity fund or a provident fund;
4	An Indian investment entity held only by (1) to (3) above
5	a qualified credit card issuer;
6	Specified Investment advisor or investment manager or executing broker
7	Specified exempt collective investment vehicle
8	a financial institution with a local client base
9	a local bank*
10	a financial institution with only low-value accounts
11	sponsored investment entity and controlled foreign corporation
12	Trustee documented trust
13	sponsored closely held investment vehicle, in case of any U.S. reportable account

*Regional Rural Banks constituted under the Regional Rural Bank Act 1976 (21 of 1976), Urban Cooperative Banks constituted under respective State Cooperative Societies Acts or Multi State Cooperative Societies Act, State Cooperative Banks or District Central Cooperative Banks constituted under respective State Cooperative Societies Act and Local Area Banks licensed under the Banking Regulations Act, 1949 (10 of 1949) and regulated and registered as public limited companies under the Companies Act, 1956 (1 of 1956) or Companies Act, 2013 (18 of 2013), that satisfy the requirement under sub-clause (iv) of explanation (O) to Rule 114F(5), shall be treated as local bank.

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TABLE 5
Active NFE

Sr.No.	Category of Active NFE (Indicative, please see the rules for the comprehensive list)
1	Less than 50 per cent of the entity's gross income for the preceding financial year is passive income and less than 50 per cent of the assets held by the entity during the preceding financial year are assets that produce or are held for the production of passive income; or
2	The stock of the entity is regularly traded on an established securities market; or; the non-financial entity is a related entity of an entity the stock of which is regularly traded on an established securities market;
3	the entity is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
4	Holding or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a financial institution
5	New non- operating entity (upto 24 months from the date of initial organisation) with the intent to operate a business other than that of a financial institution,
6	Non –financial entity in liquidation or is reorganizing;
7	the Captive financing and hedging company for related entities that are not financial institutions,
8	Prescribed organisation in india for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare satisfying prescribed conditions.
9	an Investor Protection Fund referred to in clause (23EA) of section 10;
10	a Credit Guarantee Fund Trust for Small Industries referred to in clause (23EB) of section10
11	an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act

TABLE 6
Passive NFE

Sr.No.	Category of Passive NFE
1	Any non-financial entity which is not an active non-financial entity
2	An investment entity described in sub-clause (B) of clause (c) of the Explanation to clause (3)
3	A withholding foreign partnership or withholding foreign trust

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TABLE 7
Controlling Person Type:

Controlling Persons as per SEBI Circular No.CIR/MIRSD/2/2013 issued on the 24th January, 2013.

“A. For clients other than individuals or trusts:

4. Where the client is a person other than an individual or trust, viz., company, partnership or unincorporated association/body of individuals, the intermediary shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the following information:
 - a. The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

Explanation: Controlling ownership interest means ownership of/entitlement to:

- i. more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - ii. more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
 - iii. more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- b. In cases where there exists doubt under clause 4 (a) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means.

Explanation: Control through other means can be exercised through voting rights, agreement, arrangements or in any other manner.

- c. Where no natural person is identified under clauses 4 (a) or 4 (b) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For client which is a trust:

5. Where the client is a trust, the intermediary shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies:

6. Where the client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.

D. Applicability for foreign investors:

7. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.”

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TABLE 8
Business codes as per income-tax return form ITR 6

Sr.No.	Sector	Sub-sector	Code
1	Manufacturing Industry	Agro-based industries	0101
		Automobile and Auto parts	0102
		Cement	0103
		Diamond cutting	0104
		Drugs and Pharmaceuticals	0105
		Electronics including Computer Hardware	0106
		Engineering goods	0107
		Fertilizers, Chemicals, Paints	0108
		Flour & Rice Mills	0109
		Food Processing units	0110
		Marble & Granite	0111
		Paper	0112
		Petroleum and Petrochemicals	0113
		Power and energy	0114
		Printing & Publishing	0115
		Rubber	0116
		Steel	0117
		Sugar	0118
		Tea, Coffee	0119
		Textiles, handloom, Power looms	0120
		Tobacco	0121
		Tyre	0122
		Vanaspati & Edible Oils	0123
		Others	0124
2	Trading	Chain Stores	0201
		Retailers	0202
		Wholesalers	0203
		Others	0204
3	Commission Agents	General Commission Agents	0301
4	Builders	Builders	0401
		Estate Agents	0402
		Property Developers	0403
		Others	0404

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5	Contractors	Civil Contractors	0501
		Excise Contractors	0502
		Forest Contractors	0503
		Mining Contractors	0504
		Others	0505
6	Professionals	Chartered Accountants, Companies Secretaries, etc.	0601
		Fashion designers	0602
		Legal professionals	0603
		Medical professionals	0604
		Nursing Homes	0605
		Specialty hospitals	0606
		Others	0607
7	Service Sector	Advertisement agencies	0701
		Beauty Parlours	0702
		Consultancy services	0703
		Courier Agencies	0704
		Computer training/educational and coaching institutes	0705
		Forex Dealers	0706
		Hospitality services	0707
		Hotels	0708
		I.T. enabled services, BPO service providers	0709
		Security agencies	0710
		Software development agencies	0711
		Transporters	0712
		Travel agents, tour operators	0713
		Others	0714

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8	Financial Service Sector	Banking Companies	0801
		Chit Funds	0802
		Financial Institutions	0803
		Financial service providers	0804
		Leasing Companies	0805
		Money Lenders	0806
		Non-Banking Finance Companies	0807
		Share Brokers, Sub-brokers, etc.	0808
		Others	0809
9	Entertainment Industry	Cable T.V. productions	0901
		Film distribution	0902
		Film laboratories	0903
		Motion Picture Producers	0904
		Television Channels	0905
		Others	0906

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E) Fees/Commission/Charges

Brokerage:

Fee Structure

Equity Brokerage		_____ %
Derivative Brokerage - Futures		_____ %
Derivative Brokerage - Options	Stock	_____bps on the premium value (Maximum 2.5%) or Rs. _____ per lot (Maximum INR Rs. 100) whichever is higher. (Strike out if not applicable)
	Index	_____bps on the premium value (Maximum 2.5%) or Rs. _____ per lot (Maximum INR Rs. 100) whichever is higher. (Strike out if not applicable)
Mutual Fund Commission		_____ %

The above rates are exclusive of Securities Transaction Tax, Goods & Services Tax and Other Applicable taxes or Statutory levies. The same will be charged to the client on actual basis.

Mutual Fund Transaction Commission will be levied on the value of purchase and/or switch transactions of equity / balance mutual funds or any other equity oriented mutual funds (except arbitrage mutual funds) to JBWA towards non advisory value added service provided by JBWA, from time to time, as agreed with the client. JBWA shall, on completion of a calendar month, determine the value of transactions executed on behalf of the client and shall compute and charge its commission for the transactions executed on the clients account under POA and invoice the client in the following month. The client shall be liable to pay JBWA's commission after issuance of the invoice.

Comments : _____

GST Registration Number: _____

F) Authority to debit Depository Participant, bank charges, Mutual Fund Transaction Fees/Commission, other fees from my/our bank account under POA to JBWA

I/we hereby authorize JBWA to debit any outstanding Depository Participant charges, Mutual Fund Transaction Fees/Commission, any other fees/charges etc as may be due from me/us to JBWA and/or incidental bank charges from time to time, for businesses done by me/us with JBWA, from my/bank account(s) operated by JBWA under POA or against the balance amount due to me/us from JBWA in respect of any business (including but not limited to stock broking business). This authorization is valid till such time I/we withdraw it in writing in future.

DECLARATION

I/we, agree to abide by terms, conditions, rules, regulations & other statutory requirements of SEBI, Prevention of Money Laundering Act 2002 & such other regulations as may be applicable from time to time. I/we, declare that the amount being invested is through legitimate sources only & is not designed for the purposes of contravention or evasion of any act, regulation, rule, notification, directions or any other applicable laws enacted by the Government of India or any statutory authority.

I/We wish to avail the Investment Execution services offered by Julius Baer Wealth Advisors (India) Pvt. Ltd. and I/We hereby confirm that I/We have read, fully understood and agree to be bound by the terms and conditions provided to me.

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- (iv) an order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
 - (v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
 - (vi) the person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and
 - (vii) the person is financially not sound.
- (c) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final.

Criteria for determining a “fit and proper person” for trading in securities of listed Depositories specified in Schedule II of the SEBI (Intermediaries) Regulations, 2008

For the purpose of determining as to whether an applicant or the intermediary is a “fit and proper person”, the Board may take account of any consideration as it deems fit, including but not limited to the following criteria in relation to the applicant or the intermediary, the principal officer, the director, the promoter and the key management persons by whatever name called –

- (i) integrity, reputation and character;
- (ii) absence of convictions and restraint orders;
- (iii) competence including financial solvency and networth;
- (iv) absence of categorization as a wilful defaulter.

In view of the above, you are requested you to take note of the same and provide below declaration in case you wish to trade in any securities of listed Stock Exchanges.

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Privacy Notice and Consent Form (Information Security Rules 2011)

Julius Baer Wealth Advisors (India) Private Limited (JBWA)
Mafatlal Centre, 8th Floor
Nariman Point
Mumbai, 400 021

In accordance with the requirements of the Information Technology (Reasonable security practices and procedures and sensitive personal data or information) Rules 2011 ("Information Security Rules 2011"), this document includes information about:

1. What personal information we collect
2. Purposes for which we use personal information
3. Sharing personal information

The term "you" refers to the client with which we propose to enter a relationship or with which we have a current or former relationship, and "we" or "us" refers to Julius Baer Wealth Advisors (India) Private Limited (JBWA) and as applicable its parent company, subsidiaries, affiliates and related group companies.

We may provide other material regarding the collection, use, processing and sharing of personal information in account documents. If there is any conflict between this document and the account documents, the terms of the specific account documents will prevail.

1. What personal information we collect

We collect, use and process various types of personal information about you and your accounts to the extent appropriate for your relationship with us. The personal information that we collect about you may include, but is not limited to, name, address, email address, telephone number, date of birth, personal identifiers such as passport number, Permanent Account Number, driver licence, other personally identifiable information, and sensitive personal data or information as defined in the Information Security Rules 2011.

If you provide us with information about third parties (including your relatives, beneficiaries and guardians or your authorised representatives, employees, officers, directors, shareholders, authorised signatories and other related individuals), you agree to inform such third parties and obtain their consent to the processing of that information in accordance with this document and any other applicable laws and regulations.

2. Purposes for which we use personal information

We use and process personal information for a range of purposes, which may include but is not limited to:

- to provide you with products and services
- to facilitate transactions
- to provide you with advice and guidance
- to respond to client requests
- to detect, prevent and investigate fraud
- to provide security for our customers, employees and the general public
- to verify your identity (or the identity of your representative or agent)
- to perform risk management
- to comply with applicable laws, rules and regulations, including anti-terrorism, anti-money laundering and tax reporting rules and regulations
- to comply with legal process, to respond to requests from public, regulatory or government authorities (including authorities outside your country of residency), and to allow us to pursue remedies and limit damages
- to perform internal business processes such as data analysis, audits, developing and improving new products and services
- as part of the sale, merger or similar change of the business of JBWA or its parent company, subsidiaries, affiliates and related group companies

3. Sharing personal information

Personal information may be shared for all of the purposes described in this document.

We may share personal information with our parent company, subsidiaries, affiliates and related group companies around the world. Our parent company, subsidiaries, affiliates and related

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group companies are committed to protecting personal information and to using it only for legitimate purposes.

We may share personal information with service providers that work for us in India or in any of the countries in which we operate. We supervise our service providers and require them to appropriately protect personal information. Service providers may include:

- customer service, payment or transaction processing companies
- printing companies
- order fulfillment or professional services organisations (such as legal, audit, accounting services, technology, and data processing companies)
- technology hosting (such as webhosting, cloud computing, infrastructure provision, application service providers, data centre services and technology service providers)

We may also share personal information with other third parties. Third parties may include public, regulatory and government authorities, intermediaries, other nonaffiliated third parties, self-regulatory organisations, or judicial or law enforcement authorities.

Additionally, where you have or propose to have a relationship with a third party (contractual or otherwise) in connection with a product or service, we may share information with such third party as authorized by you, and the handling of information by that party will be subject to your agreement(s) with that party.

Transfers of personal information to other countries

Your personal information may be transferred around the world to countries in which we do business, including to our parent company, subsidiaries, affiliates and related group companies, service providers or third parties, which may be located in jurisdictions that may not have the same data protection laws as those in your home country. In such circumstances we are responsible for making sure that your information continues to be protected.

4. Other

When you communicate with JBWA, your telephone conversations and electronic communications, including emails, text messages and instant messages, may be monitored or recorded to the extent permitted by applicable law.

CONSENT

You have the right to not provide (or to withdraw by written notice at any time) your consent to the collection, use, processing and sharing of your personal information. If you choose to not provide (or to withdraw) your consent, we may not be able to provide you with certain products and services.

We may make changes to this document at any time and will inform you of changes or take other steps as required by applicable law.

If you have any questions regarding the collection, use, processing and sharing of your personal information (including specific details about entities with which we share personal information), please contact the Grievance Officer for JBWA at:

Mafatlal Centre, 8th Floor
Nariman Point
Mumbai, 400 021

By signing this document, you acknowledge and consent to the collection, use, processing and sharing of your personal information in accordance with the above, as provided in account documents, as permitted by local law, or as otherwise agreed between us.

Authorised signatory: xx.....

Name (print):

Title:

Date:

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JULIUS BAER WEALTH ADVISORS (INDIA) PRIVATE LIMITED (JBWA)

SIGNATURE CARD

First Signatory

Name _____

PAN/Aadhaar _____

Are you a U.S. Green Card Holder (Yes/No) _____

Signature XX _____

Please staple recent
passport sized
photographs with
signature

Second Signatory

Name _____

PAN/Aadhaar _____

Are you a U.S. Green Card Holder (Yes/No) _____

Signature XX _____

Please staple recent
passport sized
photographs with
signature

Third Signatory

Name _____

PAN/Aadhaar _____

Are you a U.S. Green Card Holder (Yes/No) _____

Signature XX _____

Please staple recent
passport sized
photographs with
signature

Fourth Signatory

Name _____

PAN/Aadhaar _____

Are you a U.S. Green Card Holder (Yes/No) _____

Signature XX _____

Please staple recent
passport sized
photographs with
signature

Client Name (Non-Individual) _____

PAN _____

(Please affix rubber stamp with signature.)

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DERIVATIVES ELIGIBILITY FORM

CLIENT INFORMATION		
Account Number:	Client Country of Residence:	
Account Title:	Client Email Address:	Client Home Phone:
Account Title (2nd Holder):	PoA covers account <input type="checkbox"/> PoA covers Derivative Products <input type="checkbox"/> Name of Agent:	Client Fax
Combined Annual Income (Salary & Bonus) from all sources: <input type="checkbox"/> Below Rs. 60,00,000 (State Amount Rs. _____) <input type="checkbox"/> Rs. 60,00,000 - Rs. 1,00,00,000 <input type="checkbox"/> Over Rs. 1,00,00,000	Client's Liquid Assets (excluding home and autos):	Client Net Worth (Client Assets – Liabilities):
Client Investment Objective: <input type="checkbox"/> Capital Preservation <input type="checkbox"/> Income <input type="checkbox"/> Income & Growth <input type="checkbox"/> Growth <input type="checkbox"/> Aggressive Growth	Risk Tolerance: <input type="checkbox"/> Conservative <input type="checkbox"/> Moderate <input type="checkbox"/> Aggressive	Derivative Trading Objective: <input type="checkbox"/> Growth o Hedging <input type="checkbox"/> Speculation
Check all Investment Types Requested: <input type="checkbox"/> Buy Calls <input type="checkbox"/> Buy Puts <input type="checkbox"/> Sell Calls <input type="checkbox"/> Sell Puts <input type="checkbox"/> Combo (straddle etc.) <input type="checkbox"/> Covered <input type="checkbox"/> Other: _____ <input type="checkbox"/> Buy Futures <input type="checkbox"/> Sell Futures	Prior Derivative Transaction Activity: <input type="checkbox"/> Seldom <input type="checkbox"/> Moderate <input type="checkbox"/> Active_____Approx # of transactions	Does Client hold Restricted Stock? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, there are restrictions on such stock being used to cover a short position in certain option contracts, satisfy margin requirements or be deliverable against a derivative obligation

Client Agreement and Acknowledgement

By signing this Derivatives Eligibility Form in the space provided below, I acknowledge that (1) the information provided to you by me/us and included in this Derivatives Eligibility Form is accurate; (2) I have read and understood the Risk Disclosure Statement provided to me; (3) I understand and accept its contents, including the risks included therein; and (4) I agree to notify you immediately of any change in my/our financial circumstances, experience needs, risk tolerance or investment objectives, or of any event that would render any of the information relating to me/us contained in the Derivatives Eligibility Form inaccurate or misleading in any way.

1. Transfer of credits in the Derivatives/F&O segment

I/we authorize JBWA to utilize my/our credits arising from Mark to Market Margin, Option Premium, etc. on my/our open positions and on expiry/close-out on my/our positions in derivative contracts on the stock exchanges towards margin requirement for entering into fresh derivative contracts unless specified otherwise.

2. Adjustment of cash margins in the Derivatives/F&O segment

I/we authorize JBWA to utilize my/our cash margin deposit interchangeably as required towards Initial Margin (SPAN), Mark to Market and any other margins as applicable to meet my/our open position obligations on either/both stock exchanges.

CLIENT'S SIGNATURE, DATE

X X

X X

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Annexure 1

FORMAT OF AUTHORIZATION FOR MAINTENANCE OF RUNNING ACCOUNT

Date: _____

To,
Julius Baer Wealth Advisors (India) Private Limited (JBWA)

Subject: Authorisation for Maintenance of Running Account

For the purpose of operational convenience, I/we _____ (Name of the Client) authorize JBWA to maintain a running account instead of settlement – to – settlement payout of funds or delivery of securities to us. All funds and securities kept to our credit by JBWA may be treated as upfront margins and / or security deposit, at the discretion of JBWA, for allowing exposure to me / us. Under this arrangement made at our specific request, I/we shall not claim any interest on the funds and securities kept in running account with JBWA.

I/We also authorize JBWA to keep our securities received in the payout in your pool or beneficiary account with a Depository Participant as security margin for availing limit for trading purpose and further authorize JBWA to utilize the same to meet our existing and future pay- in obligations with you.

I/we hereby authorize JBWA to keep and utilize the payout / margin money deposited by us including credits arising from Mark to Market Margin, option premium etc. and on expiry/close-out on my/our open positions in derivative contracts, in our account for meeting all our future obligations and for providing limits for trading purpose on the basis of this deposit. I/we hereby authorize JBWA to deposit the above collateral with the exchange / clearing corporation / clearing house towards margin unless specified otherwise. These funds will be released to us as and when requested by us in writing or otherwise, subject to availability of free and unutilized balance after taking consideration all open positions and dues relating to our delivery / open positions.

I/We agree and authorize JBWA to settle funds and securities as specified by us below. However, in case of outstanding obligations in the F&O segment on the settlement date, JBWA shall retain requisite securities / funds towards such outstanding obligations and may also retain the funds expected to be required to meet margin obligations for next five trading days or as notified by regulatory authority from time to time.

My / Our preferences for settlement of funds and securities is:-

Quarterly Monthly

I/We understand that the said authorization to maintain a running account may be revoked at any time and JBWA shall act upon such revocation upon receipt of original revocation request at the registered office of JBWA.

I/we agree to bring any dispute arising from the statement of account or settlement so made to the notice of JBWA preferably within 7 days from the date of receipt of funds / securities or statements as the case may be.

Yours sincerely:

Signature:xx_____

Name:_____

Client code:_____