

Julius Bär

ACCOUNT OPENING FORM NON-MANDATORY (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	

* Country of Business _____

* Countries from where client is deriving/generating significant revenue/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 Relationship Manager 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 & 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

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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.

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 - Individual Identification

	First holder	Second holder	Third holder
Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender
Place/City of Birth			
Country of Birth			
Nationality			
*Are you a U.S. Green Card Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

Section 2 - Declaration of Tax Residency

a)	First holder	Second holder	Third holder
Are you a Tax Resident of any country other than India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If answer to above is Yes, then provide the following information with documentary evidence.

If you are a tax resident of multiple countries, kindly provide information of tax residence of all countries by filling in Section 2(b) and Section 3 in a separate page.

b)	First holder	Second holder	Third holder
Country/ies of Tax Residency			
Tax Identification Number (TIN)#/ Functional equivalent Number			
TIN/ Functional equivalent number Issuing Country			
Document Valid till (dd/ mm/yyyy)			

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

In case of change of information on tax residence as stated above, you are requested to intimate us of the change within 30 days of change

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Section 3 – Address Details

(To be completed only if answer in Section 2(a) is ‘Yes’)

Address of the jurisdiction of tax residence

	First Accountholder	Second Accountholder	Third Accountholder
Number			
Building Name, Street, Locality			
City/Town			
State/Province/ County			
Post Code			
Country			

Section 4 – 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/authorize 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 along with 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/ourselves 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.

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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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- (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.

Intentionally Blank

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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:

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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.

Signature xx _____

First Account Holder _____

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- 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
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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.

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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

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Signature xx _____

Second Account Holder _____

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- to provide you with advice and guidance
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- 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
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Mumbai, 400 021

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Signature xx _____

Third Account Holder _____

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NOMINATION IN MUTUAL FUND UNITS

I/We _____
 (Unit holder 1)

_____ and
 (Unit holder 2)

_____ and
 (Unit holder 3)

do hereby nominate the person(s) more particularly described hereunder in respect of all Purchase of Mutual Fund Units in new folios Invested on my/our behalf by Julius Baer Wealth Advisors (India) Private Limited (JBWA) through the Power of Attorney issued by me/us and I/We authorize JBWA to submit the below nomination details to the respective Mutual Fund.

I/We understand that the below nomination will be effective only for all Fresh Investments done in New Folios , and for all the existing folios, I/We will provide a signed nomination form for any change in nomination details.

Name address of Nominee	Relation-ship with Applicant	Date of Birth	Name of Guardian	Signature of Nominee (Optional) / Guardian of Nominee (Mandatory)	Proportion (%) in which the units will be shared by each Nominee
		(to be furnished in case the Nominee is a minor)			(should aggregate to 100%) @

@ The allocation/share should be in whole numbers without any decimals making a total of 100 percent
 By Signing this Declaration I/We confirm that I/We have read and understood the terms and conditions as mentioned on this Form.

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Name and Address of Unit holder(s)	Signature of Unit holder(s)
Unit holder 1	XX
Unit holder 2	XX
Unit holder 3	XX

Dated: _____

Terms and Condition for Mutual Fund Nomination

- Nomination ensures all rights and/or amount(s) payable in respect of the holdings in Schemes of the respective Mutual Fund would vest in and be transferred to the nominee upon death of all Unit holders. The nominee receives the units only as agent and trustee for the legal heirs or legatees as the case may be. Investors should opt for the nomination facility to avoid hassles and inconveniences in case of unforeseen events in future.
- Nomination will be done only on a prospective basis for Fresh Investments in New Folios invested on your behalf by JBWA through the Power of Attorney issued by you.
- Julius Baer Wealth Advisors (India) Pvt. Ltd. (JBWA) shall provide the details under the channel partner agreement with the respective Mutual Fund.
- Nomination by a unit holder shall be applicable for investments in all schemes in the folio or account. Nomination shall be mandatory for new folios/accounts opened by an individual especially with sole holding and no new folios/ accounts for individuals (with sole holding) would be opened without nomination. The Nomination as mentioned in this mandate will be the default nomination for all investments opened in the new Folios as mentioned above. However, investors who do not wish to nominate must communicate in writing or orally (recorded line) to JBWA confirming their non-intention to nominate.
- This nomination will become effective for all fresh folios created after the date of registration of this Form. In case of joint holders, all the joint holders shall sign this Form. For earlier Mutual Fund investments, a separate nomination form as prescribed by the respective Mutual Fund's will have to be signed by all the unit holders and submitted to the Mutual Fund.
- The Nomination can be made only by individuals applying/holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu undivided family, holder of Power of Attorney holder cannot nominate. But, JBWA as a POA holder can nominate on behalf of the investor as per the channel partner agreement executed with various Mutual Funds.
- Minor(s) can be nominated and in that event, the name, address and signature of the guardian of the minor nominee(s) shall be provided by the unitholder.
- The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, karta of Hindu undivided family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- Nomination in respect of the units stands rescinded upon the transfer of units. Transfer of units in favour of Nominee(s) shall be valid discharge by the Mutual Fund against the legal heirs.
- JBWA as POA holder cannot cancel/change any nomination. Hence, any cancellation/change of nomination request shall be given directly by the Investor to the Mutual Fund.
- Nomination can be made for maximum number of three nominees. In case of multiple nominees, the percentage of allocation/share in favour of each of the nominees should be indicated against their name and such allocation/share should be in whole numbers without any decimals making a total of 100 percent.
- In the event of the Unitholders not indicating the percentage of allocation/share for each of the nominees, Mutual Fund/ Asset Management Company Limited (AMC), by invoking default option shall settle the claim equally amongst all the nominees.
- In case of investors opting to hold the Units in demat form, the nomination details provided by the investor to the depository participant will be applicable.
- The Investor shall indemnify and hold JBWA, its employees, officers, agents or representatives harmless from and against all direct, indirect or consequential loss, damages, claims, penalties, proceedings or expenses that may arise on account of the nomination provided by the Investor.

Julius Bär

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

SIGNATURE CARD

First Holder

Name _____

PAN/Aadhaar _____

Signature XX _____

Please staple recent
passport sized
photographs with
signature

Second Holder

Name _____

PAN/Aadhaar _____

Signature XX _____

Please staple recent
passport sized
photographs with
signature

Third Holder

Name _____

PAN/Aadhaar _____

Signature XX _____

Please staple recent
passport sized
photographs with
signature

Intentionally Blank

Intentionally Blank

Julius Bär

DERIVATIVES ELIGIBILITY FORM

CLIENT INFORMATION		
Account Number:	Client Country of Residence:	
First Account Holder:	Client Email Address:	Client Home Phone:
2nd and 3rd Account 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 <input type="checkbox"/> 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
<p>Client Agreement and Acknowledgement</p> <p>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.</p> <p>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.</p> <p>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.</p>		
CLIENT'S SIGNATURE, DATE	X X	X X

Julius Bär

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_____

Client Name:_____

Client code:_____