

ACCOUNT OPENING KIT (For Individual)

INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form – Document captures the basic information about the constituent and instructions/check list.	F1-I4
		B. Document captures the additional information about the constituent relevant to trading account and instructions/ checklist.	TF1-TF7
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).	MD1-MD6
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	MD7-MD11
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	MD12-MD13
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	MD14-MD17
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	MD18
VOLUNTARY DOCUMENTS AS PROVIDED BY Julius Baer Wealth Advisors (India) Private Limited (JBWA).			
7	Depository Account Opening Form	KYC form – Document captures the basic information about the constituent and instructions/check list for opening the Demat Account.	DP1-DP9
8	Account Opening Form – Addendum	This document covers the basic details on the additional account holders. This document contains the various declarations (as applicable) for various client categories.	AD1-AD25
9	Power of Attorney	The Power of Attorney is for the purposes of operating the bank and DP account and for facilitating settlement of Trades.	POA1-POA6

Name of the stock broker/trading member/clearing member: Julius Baer Wealth Advisors (India) Private Limited (JBWA).

SEBI Registration No.: INZ000008631 Date: 13.11.2014

Registered office address: Mafatlal Centre, 8th Floor, Nariman Point, Mumbai-400 021

Ph: +91 22 6176 0100 Fax: + 91 22 6635 6110 Website: www.juliusbaer.com/in

Correspondence office address: Mafatlal Centre, 8th Floor, Nariman Point, Mumbai-400 021

Ph: +91 22 6176 0100 Fax: + 91 22 6635 6110 Website: www.juliusbaer.com/in

Compliance officer: Ms. Deepika Seth, Tel: + 91 22 6176 0100 Email: deepika.seth@juliusbaer.com

Contact Person: Mr. Vikram Agarwal, Executive Director

Tel: +91 22 6176 0100 Email: vikram.agarwal@juliusbaer.com

For any grievance/dispute please contact Julius Baer Wealth Advisors (India) Private Limited (JBWA) at the above address or Email: in.compliance@juliusbaer.com & Tel: +91 22 6176 0100.

In case not satisfied with the response, please contact the concerned exchange(s) at

(a) NSE – Email: ignse@nse.co.in & Tel: +91 22 2659 8190

(b) BSE – Email: mahesh.ghadi@bseindia.com & Tel: +91 22 2272 8517