

# Julius Bär

## ACCOUNT OPENING FORM TRADING ACCOUNT RELATED DETAILS - MANDATORY

**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](mailto:deepika.seth@juliusbaer.com) <http://www.juliusbaer.com/in> Tel.: +91 22 6176 0100 Fax: +91 22 6635 6110



# Julius Bär

## INSTRUCTIONS/ CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

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

## TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-individuals

### A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/ Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

### C. TRADING PREFERENCES

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

Exchanges	Segments			
<b>NSE</b>	Cash	<input type="checkbox"/>	Currency Derivative	<input type="checkbox"/>
	F&O	<input type="checkbox"/>	Name of other Segments, if any	
<b>BSE</b>	Cash	<input type="checkbox"/>	Currency Derivative	<input type="checkbox"/>
	F&O	<input type="checkbox"/>	Name of other Segments, if any	

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be given by 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, provide the following details:  
 Sub-broker's Name: .....SEBI Registration number: .....  
 Registered office address: .....Ph: ..... Fax: ..... Website: .....

# Julius Bär

- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)  
Name of stock broker:.....Name of Sub-Broker, if any:.....  
Client Code: .....Exchange: .....
- Details of disputes/dues pending from/to such stock broker/sub- broker: .....

## F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):  
.....  
Specify your Email id, if applicable: .....
  - Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): .....
  - Number of years of Investment/Trading Experience: .....
  - Whether you wish to receive \*standard documents in electronic form  or physical form
- \* - Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading);  
- Uniform Risk Disclosure Documents (for all segments/ exchanges); and  
- Guidance Note detailing Do's and Don'ts for trading on stock exchanges.

## G. OTHER DETAILS (INDIVIDUAL)

1. Gross Annual Income Details  
(please specify): Income Range per annum

Please tick where applicable

- Below ₹ 1,00,000    ₹ 1,00,000 – ₹ 5,00,000  
 ₹ 5,00,000 – ₹ 10,00,000    ₹ 10,00,000 – ₹ 25,00,000  
 Above ₹ 25,00,000

or

Net-worth as on (date)

.....(.....) (Net worth should not be older than 1 year)

2. Occupation  
(Tick whichever is applicable)

- Employed (Pvt/Pub/Govt Complete **Part A** Below)    Retired (Complete **Part A** Below)  
 Business Owner (Complete **Part B** Below)  
 Professional (Complete **Part B** Below)    House Wife  
 Student    Agriculturist    Others

**Part A** Employment Details  
Employer and Address Name  
(if client is retired, provide details of previous employer)

Name

Office Address

City / State

Country & Pincode

Employer's Telephone Number

Fax No.

Email id:

# Julius Bär

## Part A Employment Details

Position / Title

How long has client held this position?

Years \_\_\_\_\_ Months \_\_\_\_\_

## Part B Professional / Business owner/ Others

Business Name and Address

Name of the establishment

Office Address

City / State

Country & Pincode

Telephone No.

Mobile No.

Fax No.

Email id:

Position / Title

How long has business been in operation?

Years \_\_\_\_\_ Months \_\_\_\_\_

3. Please tick, if applicable

\* Politically Exposed Person (PEP)  Yes  No

\* Related to a Politically Exposed Person (PEP)  Yes  No

If ticked, please describe the position

4. Any other information

\* You or any of your immediate family members or close associates are a current or former official, holding or having held a senior position in a major political party; in the executive, legislative, administrative, military or judicial branches of government; or in a majority government-owned commercial enterprise.

## G. OTHER DETAILS (NON-INDIVIDUAL)

1. Gross Annual Income Details (please specify): Income Range per annum

Please tick where applicable

Below ₹ 1,00,000  ₹ 1,00,000 – ₹ 5,00,000

₹ 5,00,000 – ₹ 10,00,000  ₹ 10,00,000 – ₹ 25,00,000

₹ 25,00,000 – ₹ 1,00,00,000  Above ₹ 1,00,00,000

2. Net-worth as on (date)

.....(.....) (Net worth should not be older than 1 year)

# Julius Bär

## DETAILS OF PROMOTERS/PARTNERS/KARTA/WHOLE TIME DIRECTORS

Name	1)	2)	3)
DIN or Aadhaar of Partners/Promoters/Karta			
Politically Exposed Person	<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 Yes, please describe the Position			
Related to Politically Exposed Person	<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 Yes, please describe the Position			

## DETAILS OF PROMOTERS/PARTNERS/KARTA/WHOLE TIME DIRECTORS

Name	4)	5)	6)
DIN or Aadhaar of Partners/Promoters/Karta			
Politically Exposed Person	<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 Yes, please describe the Position			
Related to Politically Exposed Person	<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 Yes, please describe the Position			

## DETAILS OF AUTHORISED PERSONS TO DEAL IN SECURITIES ON BEHALF OF THE COMPANY/FIRM/OTHERS

Name	1)	2)	3)
Designation			
DIN or Aadhaar of Partners/Promoters/Karta			
Pan Number			
Politically Exposed Person	<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 Yes, please describe the Position			
Related to Politically Exposed Person	<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 Yes, please describe the Position			
Photograph			
Signature			





# Julius Bär

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

Name -----Name -----  
Signature -----Signature -----  
Address -----Address -----

### DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' & Guidance Note. 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 -----

(XX-----)  
Signature of Client/ (all) Authorized Signatory (ies)

### 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			

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

-----  
**Signature of the Authorised Signatory**

Date .....

**Seal/Stamp of the stock broker**

Intentionally Blank