

Julius Bär

DEPOSITORY ACCOUNT OPENING FORM **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
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Julius Baer Wealth Advisors (India) Private Limited (JBWA)

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

Tel: (022) 6176 0100 Fax: (022) 6635 6110

DP ID : IN305099

Serial No.:

Form 11

APPLICATION FORM FOR OPENING AN ACCOUNT (For Non - Individual)

Date :	Client - Id (To be filled by the Participant)																		
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I/We request you to open a depository account in my / our name as per the following details:
(Please fill all the details in **CAPITAL LETTERS** only)

Type of Account (Please tick any one)			
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> CM	<input type="checkbox"/> Others
<input type="checkbox"/> HUF	<input type="checkbox"/> FI	<input type="checkbox"/> Mutual Fund	(Please Specify)
<input type="checkbox"/> Trust	<input type="checkbox"/> FII	<input type="checkbox"/> Bank	_____

Part A - Details of Account holder(s):														
Name of Account holder(s):										PAN Details				
Sole/ First Holder														
Second Holder														
Third Holder														

For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:																			
a) Name													b) PAN						

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Mode of receiving Statement of Account [Tick any one] [Read Note 3 and ensure that email ID is provided in KYC Application Form].		<input type="checkbox"/> Electronic	<input type="checkbox"/> Physical
I wish to receive Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories.		<input type="checkbox"/> Electronic	<input type="checkbox"/> Physical
Option for Issue of DIS booklet (please tick any one) Option 1 - I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. Option-2 - I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date.		<input type="checkbox"/> Option1	<input type="checkbox"/> Option2
	Mobile	Email	Please update my KRA
1st Holder			<input type="checkbox"/> Yes <input type="checkbox"/> No
2nd Holder			<input type="checkbox"/> Yes <input type="checkbox"/> No
3rd Holder			<input type="checkbox"/> Yes <input type="checkbox"/> No
We hereby declare that the mobile numbers or E-mail addresses provided by me do not pertain to any participant / brokers / sub-brokers / franchisees / custodians / portfolio managers / etc. or their employees			

Part G - In case of Clearing Members (to be filled up by Clearing Members only)

1. Name of Stock Exchange	
2. Name of Clearing Corporation/ Clearing House	
3. SEBI Registration Number	
4. Clearing Member ID	
5. Trade name	
6. CM-BP-ID (to be filled up by Participant)	

Part H : List Of Family members of the HUF (Separate Annexure maybe used in case number of members is higher)

Sr. No	Name of Coparcener/Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/Member (please specify)

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Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it.

I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant.

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF Details of Karta to be given.)

Sole / First Holder	Name	Signature(s)
First Signatory /Karta of HUF		xx
Second Signatory		xx
Third Signatory		xx
Other Holders		
Second Holder		xx
Third Holder		xx

Mode of Operation for Sole / First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)

- Any one singly Jointly by As per resolution
 Others (please specify) _____

Notes:

1. In case of additional signatures, separate annexures should be attached to the application form.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. Strike off whichever is not applicable.

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Julius Baer Wealth Advisors (India) Private Limited
DP ID:IN305099
Schedule of Charges

Dear Customer,
The schedule of charges are as follows:

Sr.	Account Head	Rate	Minimum Payable
1	Account Opening	NIL	
2	Account Maintenance Charges	NIL	
3	Custody Charges	NIL	
4	Dematerialisation	Rs. 3/- per Certificate, plus Rs. 25 per Request. --	--
5	Rematerialisation	a) Rs. 10/- for every hundred securities or part there of OR b) a flat fee of Rs. 10/- per certificate whichever is higher	--
6	Market Transactions (Sell)	0.05% of the value of securities	Rs.25/-
7	Market & Off - Market Transaction (Buy)	NIL	
8	Off - Market Transaction (Sell) (Intra DP)	0.02% of the value of securities	Rs.25/-
9	Off - Market Transaction (Sell) (Inter DP)	0.05% of the value of securities	Rs.25/-
10	Pledge Services	Rs. 100/- per request	
11	Pledge Invocation	Rs. 100/- per request	
12	Late Service Charges*	0.25% of the value of securities	Rs.25/-
13	Failed Transaction	Rs. 25/- per Entry	
14	Demat Rejection Charges	Rs. 25/- per Entry	

Goods and Services Tax + Other Applicable Taxes will be levied on the above charges.

Notes:

- ✓ Julius Baer Wealth Advisors (India) Private Limited (JBWA) shall provide the service on a continuous basis for a period of at least 100 days subject however, to the provisions of clause 17 of Rights and Obligations of Beneficial Owner and Depository Participant.
- ✓ JBWA shall, on completion of a calendar month, determine the number of transactions executed on your behalf and shall compute and charge the fees and issue invoice in the following month. Payment of fees shall be due only after the invoice is issued.
- ✓ There will be no charges levied on liquid Bees with ISIN INF732E01037.
- ✓ Charges / Service Standards are subject to revision at the JBWA's sole discretion and will be intimated in writing to client atleast 30 days in advance.
- ✓ Any service, which is not mentioned above, will be charged separately at the applicable rates from time to time.
- ✓ Any additional charges levied by NSDL will be charged to client.
- ✓ Value of Transaction will be in accordance with rates provided by the Depository.
- ✓ Pledge Services will include individually pledge creation request, pledge confirmation request, closure requisition, closure confirmation requisition.
- ✓ All the account holders must sign operating instructions for the joint accounts.
- ✓ In the normal course for operation of accounts the instructions for transfer should reach JBWA, prior to the deadline as mentioned below:

Type of Transaction	No. of Hours
For On Market Rolling Settlement	4 p.m. on T+1.

* Late Service Charges would be collected for all instructions received beyond the stipulated time. The same will be accepted at client's risk and will be executed on 'Best Effort basis'

I / We have read and understood the "Schedule of Charges" prescribed above and agree to abide by the same.

xx _____
Signature of First / Sole Holder

xx _____
Signature of Second Holder

xx _____
Signature of Third Holder

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ACKNOWLEDGEMENT

(For Office use only)

Serial No.: _____

Julius Baer Wealth Advisors (India) Private Limited

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

DP ID: **IN305099**

Received the application from Mr. / Ms. _____
_____ as the sole / first holder alongwith _____
_____ and _____ as the second and third holders
respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in
case of Clearing Members) in all your future correspondence.

For Julius Baer Wealth Advisors (India) Private Limited

Date : _____

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