

REQUEST LETTER FOR AVAILING ELECTRONIC CONTRACT NOTE FACILITY

Julius Baer Wealth Advisors (India) Pvt Ltd

Corporate Identity Number (CIN):
8th Floor Mafatlal Centre,
Nariman Point,
Mumbai - 400021

Sub.: My broking account UCC _____ with JBWA.

Dear Sir/Madam,

I am aware that Julius Baer Wealth Advisors (India) Pvt Ltd (herein referred to as "JBWA") has started offering the option of digitally signed electronic Contract Notes (ECN) for its clients.

I/We are desirous of availing this facility and hereby give consent to JBWA to issue ECN & other communication pertaining to my broking account to my/our e-mail id _____

I/We acknowledge and agree to the following terms and conditions, regarding availing the option of ECN from JBWA:

I/We acknowledge and agree that:

1. Once I start receiving ECNs, JBWA shall discontinue sending physical contract notes to me.
2. I will start receiving ECNs only after I validate/authenticate my email ID in the manner specified by JBWA.
3. In case any email (containing the ECN) sent by JBWA to my above email address bounces back, the same shall amount to delivery of the Contract Note to me. JBWA will dispatch the physical contract notes (in lieu of the bounced ECN) within 24 working hours from the time they receive the bounced email. However, the non-receipt of the bounced mail notification by JBWA shall amount to delivery of the contract note.
4. JBWA shall send only digitally signed, encrypted and non-tamperable ECNs in compliance with the provisions of the IT Act, 2000.
5. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
6. I/We undertake that it shall be my/our sole responsibility to verify that the details in the ECNs like Trade Time, Trade Price, Trade Quantity, Name of Security, Client Code etc. In case there is any discrepancy in the ECN, I/we shall inform JBWA of the same, within 48 hours of the receipt of the ECN by me, by sending an email to email ID: **in.compliance@juliusbaer.com** or a physical signed letter to the above mentioned address. In case I/we do not inform and get the discrepancies corrected by JBWA, within the time frame specified above, it will be deemed that I have accepted the ECNs and the same will be binding upon me/us. However, JBWA in its absolute discretion, reserves the right to accept any objection from me, on the ECN, if the objection is received after the expiry of stipulated time.
7. JBWA shall simultaneously publish the ECN on its designated web-site www.juliusbaer.in in a secured way and I shall be able to access the same with the login ID and password given to me. I shall be able to save the ECN or take a print out of the same from the JBWA website.
8. I/We undertake that it shall be my/our responsibility to inform Julius Baer Wealth Advisors (India) Private Limited about any change in my E-mail ID through a written request letter. I/We agree and confirm that JBWA shall not be responsible for the non-receipt of the ECN, in case I do not communicate any change in my email to them.
9. JBWA shall not take cognizance of out-of-office/out-of-station auto replies and shall not act upon any instructions given in such auto replies. In such cases I/we shall be deemed to have received such ECN.

