

## JEFFERIES INDIA PRIVATE LIMITED

### ACCOUNT OPENING KIT (INDEX OF DOCUMENTS)

| S. No.   | Name of the Document           | Brief Significance of the Document  | Page No.                       |
|--|--------------------------------|---|--------------------------------|
| <b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b> |                                |   |                                |
| 1  | Account Opening Form           | A. KYC form - Document captures the basic information about the constituent and an instruction/check list.  | Annexure I<br>(1 - 3 pages)    |
|  |                                | B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.  | Annexure II<br>(1- 4 pages)    |
| 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).         | Annexure III<br>(1 - 7 pages)  |
| 3  | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities market.  | Annexure III<br>(8 – 12 pages) |
| 4  | Guidance note                  | Document detailing do's and don'ts for trading on exchange, for the education of the investors.   | Annexure III<br>(13- 14 Pages) |
| 5  | Grievance Redressal Mechanism  | Document detailing procedure for filing of investor complaint.  | Annexure III<br>(15-16 pages)  |
| 6  | Policies and Procedures        | Documents describing significant policies and procedures of the stockbroker.  | Annexure IV<br>(1- 4 pages)    |
| 7  | Tariff sheet                   | Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).  | Annexure V<br>(1 page)         |
| 8  | Investor Charter               | Investor Charter for Stock Brokers inter-alia detailing the services provided to Investors, Rights of Investors, various activities of Stock Brokers with timelines, DOs and DON'Ts for Investors and Grievance Redressal Mechanism | Annexure VI<br>(1 – 5 pages)   |
| <b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>       |                                |   |                                |
| 9  | Terms of Business              | Document that set out the terms and conditions upon which we will conduct business with client.   | Annexure VII<br>(1 - 18 pages) |
| 10   | Running Account Authorisation  | Letter of Authorization for maintaining a Running Account   | Annexure VIII<br>(1 page)      |

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|----|-----------------------|--|------------------------|
| 11 | FATCA CRS Declaration | Declaration for determining Tax Residency of the Clients | Annexure IX (11 pages) |
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**Note:** Items 10 and 11 are to be provided only in case you will be placing funds or securities as collateral for trading

Name of stock broker/trading member/clearing member: **Jefferies India Private Limited**

SEBI Registration No details:

| Exchanges | SEBI Registration No. | Date           |
|-----------|-----------------------|----------------|
| NSE       | INZ000243033          | March 22, 2019 |
| BSE       | INZ000243033          | March 22, 2019 |

#### Registered & Correspondence address:

Jefferies India Private Limited, Level 16, Express Towers, Nariman Point, Mumbai – 400 021, INDIA.  
 Telephone : +91-22-4356 6000,  
 fax : +91-22-4356 6050.

#### Compliance officer's detail:

Sanjay Pai, Telephone:+91-22-4224 6000, email id: compliance\_india@jefferies.com

#### CEO / Director's name, phone no. & email id:

Rajiv Hingoo, Telephone: +91-22-4224 6140, email id : rhingoo@jefferies.com

For any grievance / dispute please contact our Compliance Department at above address or email id compliance\_india@jefferies.com and phone no. +91-22-42246000. In case if you are not satisfied with the response, please contact the concerned exchange (s) as per details below:

| Name of Stock exchange | Email id         | Telephone number                                      |
|------------------------|------------------|---|
| NSE                    | ignse@nse.co.in  | + 18002660058<br>+ 91-22-25045300<br>+ 91-22-61928200 |
| BSE                    | dis@bseindia.com | +91-22-22721233/34<br>+ 91-22-22728517                |

Note: Please note that Jefferies India Private Limited is not required to comply with the Business Continuity/DR plan under the existing regulatory provisions