

Application No.	HE
UCC	
DP Client No.	12064200
Reference No.	
Partner	
Partner Center	
HUF Name	
Karta's Name	



TRADING & DEMAT ACCOUNT OPENING  
FORM AND POWER OF ATTORNEY

HUF

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### Notes:

1. PAN Card and Bank Passbook of HUF is required as it indicates its existence
2. The Karta should sign the AOF[Account Opening Form] and the declaration under the stamp of HUF
3. HUF account cannot be opened in joint names
4. All Corparceners sign required on POA
5. HUF can not appoint nominee.

## DETAILS OF THE DEPOSITORY PARTICIPANT AND STOCK BROKER

### NJ INDIA INVEST PVT. LTD.

Registered & Correspondence Office Address : Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat Phone: 0261 398 5500 Fax: 0261 398 5880

SEBI Reg No : BSE-INB011360535 NSE-INB231360539 CDSL-IN-DP-14-2015

Email id: dpservices@njgroup.in Website: www.njgroup.in

Compliance officer name : Rakesh P Tokarkar

Phone no. : 0261- 3985901

E-mail id. : compliance\_cdsl@njgroup.in

CEO name : Mr. Niraj R. Choksi

Phone no. : 0261- 3985901

E-mail id. : ceo@njgroup.in

For any grievance/dispute please contact NJ IndiaInvest Private Limited at Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat or email id - dpservices@njgroup.in and Phone no.: 0261-3985500.

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

BSE at is@bseindia.com and Phone no. : 022- 22728097

NSE at ignse@nse.co.in and Phone no.: 022-26598190.



# ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT

Application No. \_\_\_\_\_

HE

## NJ INDIA INVEST PVT. LTD.

Registered & Correspondence Office Address : Block No.901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh  
Commercial Complex, Central Road No.10, Udhna, Surat - 394 210, Gujarat Phone: 0261 398 5500 Fax: 0261 398 5880

This information is the sole property of the trading member/DP/brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients.

(To be filled by DP)

Date: \_\_\_\_\_

DP Internal Reference No. \_\_\_\_\_

DP ID 1 2 0 6 4 2 0 0

Client ID \_\_\_\_\_

(To be filled by the applicant in BLOCK LETTERS & with BLACK BALL POINT PEN in English )

I/We request you to open a Demat Account in my/our name as per the following details:

### Type of Account (Please tick whichever is applicable)

Status	Sub-Status	
Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director
	<input type="checkbox"/> Individual Director's Relative	<input checked="" type="checkbox"/> Individual HUF
	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Others(specify) _____
NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI - Non Repatriable
	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable Promoter
	<input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> Others (specify) _____
Foreign National	<input type="checkbox"/> Foreign National	
	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify) _____

### Constituent Details

Name of the HUF: SHREY DHARMESH SHAH (HUF)

Karta's Name: SHREY DHARMESH shah

Karta's PAN: ABCD512345 UID: \_\_\_\_\_

UIN Code: \_\_\_\_\_

Date of Incorporation: 11/09/1992

Date of Registration: \_\_\_\_\_

Place of Registration: SURAT

HUF PAN: AAAAHS6211C

Name\*: \_\_\_\_\_

\*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.



## ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT

### Additional Details

I/We instruct the DP to receive each and every credit in my/our account [Automatic Credit] (If not marked, the default option would be 'Yes')	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Account Statement Requirement	<input checked="" type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction - cum - Holding Statement at the Email ID <u>abcdef@gmail.com</u>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
I/ We would like to share the email ID with the RTA	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input checked="" type="checkbox"/> Electronic <input type="checkbox"/> Physical & Electronic
I/We wish to receive dividend/ interest directly into my bank account as given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time ]	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
SMS Alert Facility <small>(Refer terms &amp; conditions in the booklet provided)</small>	Mobile No. <u>+ 9 1 9812347890</u> [(Mandatory , if you are giving Power of Attorney (POA)) (if POA is not granted & you do not wish to avail of this facility, cancel this option).]
Transactions Using Secured Texting Facility (TRUST). <small>(Refer terms &amp; conditions in the booklet provided)</small>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.
Stock Exchange Name/ID _____ Clearing Member Name _____ Clearing Member ID (Optional) _____	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>easi</b> If yes, please contact your DP for details [Facility through CDSL's website: <a href="http://www.cdslindia.com">www.cdslindia.com</a> wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No



# ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

I/We request you to open a Trading Account in my/our name as per the following details:

## Depository Account Details

Beneficiary Name SHREY DHARMESH SHAM (HUF)  
DP Name N J India Invest Private Limited  
DP Address Block No 901 & 902 6th Floor B Tower Udhna  
Udyognagar Sangh Commercial Complex  
Central Road No 10 Udhna Surat - 394210  
DP ID 12064200 Client ID \_\_\_\_\_ Depository Name CDSL

## Trading Preferences

(Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the Client)

BSE Segment	Signature	NSE Segment	Signature
Cash	1(a)/14	Cash	2(a)/14
F&O	1(b)/14	F&O	2(b)/14
STAR MF	1(c)/14	MFSS	2(c)/14
Currency Derivative	1(d)/14	Currency Derivative	2(d)/14

(\*If, in future, the Client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.)

## Past Actions

Please give the details of any action taken by SEBI/Stock Exchange/ any other authority for violation of Securities Laws/ other economic offences specifically indicating any action taken during the previous 3 years.

NA

## Dealings through Sub-brokers and other Stock Brokers

Whether dealing through the sub-broker, provide the following details:

Sub-broker's Name: \_\_\_\_\_

SEBI Registration number: \_\_\_\_\_

Registered office address: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Website: \_\_\_\_\_

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

If Yes, Stock Broker's Name: \_\_\_\_\_

Client Code: \_\_\_\_\_ Name of the Exchange: \_\_\_\_\_

Details of disputes/dues pending from/to such stock broker/sub-broker: \_\_\_\_\_



Signature with Rubber Stamp of HUF

# ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

## Additional Details

I wish to receive  Physical Contract note  Electronic Contract Note (ECN) (please specify):

Specify your Email id, if applicable: \_\_\_\_\_

Whether you wish to avail the facility of  Internet trading  Wireless technology (please specify):

## Investment/ Trading Experience

No Prior Experience

Years in Equity

Years in Derivatives

Years in Other Investment Products

## Introducer's Details

### Introducer 1 (For Mutual Fund)

Name: \_\_\_\_\_

Status:  Sub-broker  Remisier  Authorized Person  Existing Client

Others, please specify \_\_\_\_\_

Address: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Introducer's Code: \_\_\_\_\_

Introducer's PAN: \_\_\_\_\_

Introducer  
Signature

x

### Introducer 2 (For Capital Market)

Name: \_\_\_\_\_

Status:  Sub-broker  Remisier  Authorized Person  Existing Client

Others, please specify \_\_\_\_\_

Address: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Introducer's Code: \_\_\_\_\_

Introducer's PAN: \_\_\_\_\_

Introducer  
Signature

x

## FOR OFFICE USE ONLY

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 Company's website, if any, for the information of the clients.

**Member's  
Authorized  
Signatory**

x

Signed by: \_\_\_\_\_

Date:                /                /               

**Seal/Stamp of  
stock broker**



leave it Blank.

# ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT

## Multiple Bank Accounts

To \_\_\_\_\_ UCC: \_\_\_\_\_  
NJ INDIAINVEST PVT. LTD.,  
Block No.901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna,  
Surat - 394210, Gujarat.

I request you to make the following additions to my Trading account in your records.

For each bank account, investors should produce originals for verification or submit originals of the documents mentioned below.

## Bank Details

1. Name of the Bank \_\_\_\_\_  
Account No \_\_\_\_\_ IFSC Code: \_\_\_\_\_  
Bank Address \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_ Pin/Zip Code: \_\_\_\_\_  
Country: \_\_\_\_\_  
MICR Code \_\_\_\_\_ Account Type:  Savings  Current  Other \_\_\_\_\_  
Document attached (Any one):  Cancelled Cheque with name pre-printed  Bank statement  
 Pass book  Bank Letter

2. Name of the Bank \_\_\_\_\_  
Account No \_\_\_\_\_ IFSC Code: \_\_\_\_\_  
Bank Address \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_ Pin/Zip Code: \_\_\_\_\_  
Country: \_\_\_\_\_  
MICR Code \_\_\_\_\_ Account Type:  Savings  Current  Other \_\_\_\_\_  
Document attached (Any one):  Cancelled Cheque with name pre-printed  Bank statement  
 Pass book  Bank Letter

Bank Proof (Any one Proof Required from the following list (Self attested)):

- 1) Copy of cancelled cheque Leaf with name of the accountholder preprinted on it
- 2) Bank passbook having name and address of the account holder and latest transaction pages being not more than 3 months old.
- 3) Bank Statement having name and address of the accountholder being not more than 3 months old
- 4) Letter from the bank certifying the account number and period from which the account is in operation. The bank branch and designation and name of the bank official should be clear. Also enclosed copy of cheque.

Name: \_\_\_\_\_

x \_\_\_\_\_ 03/14

Signature of Karta (with HUF Seal)

Sign and  
Stamp of HUF



To be filled in case of Additional Bank is there and send the proof also.



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# COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

## Bank Details (For Demat purpose and will be used as default bank)

Name of the Bank \_\_\_\_\_

Branch \_\_\_\_\_ IFSC Code: \_\_\_\_\_

Bank Address \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_

Country: \_\_\_\_\_ Pin/Zip Code: \_\_\_\_\_

Account No \_\_\_\_\_

Bank Code \_\_\_\_\_ Account Type:  Savings  Current  Other \_\_\_\_\_  
(9 digit MICR Code)

1. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
  2. Photocopy of the Bank Statement having name and address of the BO.
  3. Photocopy of the Passbook having name and address of the BO, (or)
  4. Letter from the Bank.
- (In case of options ii, iii, and iv above, MICR code of the branch should be present/ mentioned on the document and should be self-certified by the BO.)

## Other Details

Gross Annual Income Details	Income Range per annum: <input type="checkbox"/> Up to ₹1,00,000 <input type="checkbox"/> ₹1,00,000 to ₹5,00,000 <input type="checkbox"/> ₹ 5,00,000 to ₹10,00,000 <input type="checkbox"/> ₹10,00,000 to ₹ 25,00,000 <input type="checkbox"/> More than ₹25,00,000
	Net worth as on (Date) <u>DDMMYYYY</u> ₹ _____ [Net worth should not be older than 1 year]
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
Please tick If Karta is either <input type="checkbox"/> Politically Exposed Person (PEP) or <input type="checkbox"/> Related to Politically Exposed Person (RPEP)	
Any other information	



# COMMON DETAILS FOR OPENING TRADING & DEMAT ACCOUNT

## Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP)

Name of holder \_\_\_\_\_

PAN \_\_\_\_\_ Date: DDMMYYYY

Sr. No	Name of Karta	Relation with the holder	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

Name: \_\_\_\_\_

x 04/14

Signature of Karta (with HUF Seal)

Details if the Karta is PEP. Or related to PEP.

### To be filled by Branch

Employee Name \_\_\_\_\_

Date: DDMMYYYY Signature of the Employee x

Branch \_\_\_\_\_

### For Processing Office Only

Audited by \_\_\_\_\_ UCC \_\_\_\_\_

Storage File No. \_\_\_\_\_ Date: DDMMYYYY

(Originals verified) True copies of documents received

(Attested) True copies of documents received

**Member's Authorized Signatory** x

**Seal/Stamp of stock broker**

To be left blank

.....(Please Tear Here).....

## ACKNOWLEDGEMENT RECEIPT

Application No. HE

Date: DDMMYYYY

We hereby acknowledge the receipt of the Trading and Demat Account Opening Form.

Name of HUF	
Name of Karta	

For, **NJ India Invest Pvt. Ltd.** \_\_\_\_\_



**MANDATORY & NON-MANDATORY DOCUMENT AND  
DECLARATION FOR OPENING TRADING AND DEMAT ACCOUNT**

From

Name of HUF \_\_\_\_\_

Name of Karta \_\_\_\_\_

DP ID 1 2 0 6 4 2 0 0

Client ID \_\_\_\_\_

To

NJ INDIAINVEST PVT. LTD.,

Block No.901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex,  
Central Road No. 10, Udhna, Surat - 394210, Gujarat.

**Dear Sir,**

1. I/We hereby opt to receive the below listed documents in  Physical Form  Electronic Form
2. I/We am/are desirous of opening the trading and demat account with NJ India Invest Private Limited in the process of executing client registration documents relating to the opening of trading and demat account.
3. I/We have furnished all the details required in the Account opening form as per SEBI/Exchange/DP requirements. I/We confirm having read/been explained & understood the contents of the Mandatory and Non- Mandatory documents which are provided to me/us. I/We agree that the Mandatory and Non-Mandatory document contains following:

a)	Instructions for Demat Account	(Page No. 1)
b)	Instructions for Trading Account	(Page No. 2)
c)	Details & Checklist for Trading and Demat Account	(Page No. 3)
d)	Rights and Obligations of the parties (including additional rights and obligations in case of internet and wireless technology based trading) prescribed by SEBI and Stock exchanges.	(Page No. 7)
e)	Internet & Wireless Technology based Trading facility provided by Stock Brokers to Clients	(Page No. 11)
f)	Uniform Risk Disclosure Documents (RDD) prescribed by SEBI and Stock exchanges detailing risk associated with dealing in the securities market	(Page No. 12)
g)	Guidance note detailing Do's and Don'ts for trading on Stock exchanges, for the education of the investors	(Page No. 16)
h)	Policies and Procedures - Document describing significant policies and procedures of the Stock Broker	(Page No. 18)
i)	Information on Anti Money Laundering for educating Clients	(Page No. 20)
j)	Voluntary Clauses – Enabling clauses to provide services customized to suit Client's needs and improve service delivery	(Page No. 22)
k)	Terms and Conditions for receiving SMS Alert from CDSL	(Page No. 27)
l)	Terms and Conditions for availing Transaction using Secured Texting (TRUST) service offered by CDSL	(Page No. 30)
m)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	(Page No. 32)
n)	Mandatory and Non-Mandatory Document Booklet and Declaration	(Page No. 35)

**MANDATORY & NON-MANDATORY DOCUMENT AND  
DECLARATION FOR OPENING TRADING AND DEMAT ACCOUNT**

4. I/We understand and agree that any amendment/modifications as required by the exchanges/DP and/or regulators will be applicable to me/us at all point of time and I/We understand that these changes will be intimate to me/us.
5. I/We understand that the Mandatory and Non-Mandatory document is in accordance of the exchanges and/or SEBI/DP requirements applicable for opening Trading and Demat Account.
6. 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 agree and undertake to inform you of any change(s) 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.
7. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and tariff sheet.
8. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. 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 the stock broker's designated website, if any.
9. I / We have received and read the copy of Rights and Obligations of the Beneficial Owner and Depository Participant and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time.

Place: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

x	05/14
---	-------

→ Sign and Stamp of HUF

Signature of Karta (with HUF Seal)



# TARIFF SHEET

## Mutual Fund

Transaction type / Scheme type	Purchase/ Switch	Redemption	SIP
Equity/Balance			
Debt			
Cash			
Others			

**Note:**

1. The above rates would be charged/collected from the client at the time of transaction.
2. Brokerage rate mentioned would be considered in percentage terms.
3. The rates would be inclusive of Service Tax.
4. NJ reserves the right to deduct the brokerage from future transactions, in case of any pending dues.
5. Brokerage structure for "Others" include all schemes not covered under Equity, Debt & Cash.

Name of the HUF: \_\_\_\_\_

Authorised Signatory

x
06/14

→ Sign with stamp of HUF

Introducer's Name: \_\_\_\_\_

Introducer Signature

x

↓ Partner's signature

Introducer's Code: \_\_\_\_\_



# TARIFF SHEET

## Capital Market

Transaction Type/Capital Market Segment	Buy	Sell	SIP
Direct Equity	Minimum Brokerage 0.50% or 0.25 paise per share whichever is higher	Minimum Brokerage 0.50% or 0.25 paise per share whichever is higher	Minimum Brokerage 0.50% or 0.25 paise per share whichever is higher
			NA
Debt	Minimum Brokerage 0.50% or 0.25 paise per share whichever is higher	Minimum Brokerage 0.50% or 0.25 paise per share whichever is higher	-
			NA
Liquid	Minimum Brokerage 0.05% or 0.25 paise per share whichever is higher	Minimum Brokerage 0.05% or 0.25 paise per share whichever is higher	-

**Note:**

1. Minimum Brokerage of 0.50% or 0.25 paise per share whichever is higher will be charged for all the Transactions (Both Buy & Sell) except for liquid transactions.
2. Maximum 2.5% brokerage on transaction value will be charged (Both Buy & Sell).
3. Service Tax on Brokerage will be charged as applicable.
4. Securities Transaction Tax (STT) applicable as per delivery & non delivery on turnover.
5. Stamp Duty Applicable State wise as per delivery and non-delivery will be levied on turnover.
6. SEBI Turnover Tax 0.0001% will be charged on turnover.
7. Transaction Charges will be charged @ 0.0031% for NSE and 0.0035% for BSE on turnover.

Name of the HUF: \_\_\_\_\_

Authorised Signatory

x
07/14

*sign and stamp of HUF*

Authorised Person's Name: \_\_\_\_\_

Authorised Person Signature

x

Authorised Person's Code: \_\_\_\_\_

*partner's signature*



# ANNEXURE A

## BSE STAR MF (Letter to be provided by the investor to the MFI)

Date : \_\_\_\_\_

To

NJ India Invest Pvt. Ltd.

Sir,

Sub: BSE STAR MF

I/We, \_\_\_\_\_

am/are registered as your client with Client Code No. \_\_\_\_\_ for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE STAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the circular dated December 2, 2009 and as may be specified by the exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in BSE STAR MF.

Thanking you,  
Yours faithfully,

x \_\_\_\_\_ 08/14

Signature of Karta (with HUF Seal)

→ Sign and  
Stamp of HUF





# ANNEXURE A

## Details of terms & conditions for the investor / client for using BSE STAR MF platform

### 1. Pre-requisites for becoming an investor / a client for the BSE STAR MF platform

- 1.1 The client, who is desirous of investing in units of mutual fund schemes through the BSE STAR MF.
- 1.2 The client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the BSE STAR MF platform.
- 1.3 The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transaction through the MFI.
- 1.4 The client has approached the MFI with the application for availing the BSE STAR MF platform.
- 1.5 The client has submitted relevant KYC (Know Your Client) details to the MFIs

### 2. Terms and Conditions

- 2.1 The client shall be bound by circulars issued by BSE's rules, regulations and notices/circulars issued there under by SEBI and relevant notifications of government authorities as may be in force from time to time.
- 2.2 The client shall notify the MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the BSE STAR MF platform or at any time thereafter.

- 2.3 The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI.
- 2.4 The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5 The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6 The client shall ensure continuous compliance with the requirements of the BSE, SEBI and AMFI.
- 2.7 The client shall pay to the MFI fees and statutory levies as are prevailing from time to time and as they apply to the client's account, transactions and to the services that MFI renders to the client.
- 2.8 The client will furnish information to the MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9 In the event of non-performance of the obligation by the MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL).
- 2.10 In case of any dispute between the MFIs and the investors arising out of the BSE STAR MF platform, BSE and / or ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Thanking you,  
Yours faithfully,

x 09/14

Signature of Karta (with HUF Seal)

→ Sign and  
Stamp of MFI



# ANNEXURE B

## MUTUAL FUND SERVICE SYSTEM FACILITY (Letter to be provided by the investor to the participant)

Date : \_\_\_\_\_

To

NJ India Invest Pvt. Ltd.

Sir,

Sub: Mutual Fund Service System (MFSS) facility

I/We, SHREY DHARMESH SHAH (HUF)

are desirous of being registered as your client for the purpose of participating in the MFSS.

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with, on the MFSS of the Exchange.

I/We am/are willing to abide by the operating guidelines and terms and conditions as may be specified by the Exchange from time to time in this regard including the terms and conditions specified by the Exchange with respect to MFSS since 2009. I/We shall also comply with all the Know Your Client (KYC) and Anti Money Laundering (AML) requirements, as may be specified by the Exchange.

I/We shall also ensure compliance with the requirements, as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS.

Thanking you,

Yours faithfully,

x 10/14  
\_\_\_\_\_ →

Signature of Karta (with HUF Seal)

*Sign and  
stamp of HUF*



## ANNEXURE B

### Details of terms & conditions for the investor / client for using new MFSS facility

#### 1. Pre-requisites for becoming investor / client for the new MFSS facility

- 1.1. The client, who is desirous of investing in units of mutual fund schemes through the new MFSS.
- 1.2. The client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the participant of the new MFSS.
- 1.3. The client has satisfied itself of the capacity of the participant to deal in Mutual Fund units and wishes to execute its instruction through the participant and the client shall from time to time continue to satisfy itself of such capability of the participant before executing transaction through the participant.
- 1.4. The client has approached the participant with the application for availing the new MFSS facility.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the participants

#### 2. Terms and Conditions

- 2.1. The client shall be bound by circulars issued by NSEIL from time to time including the circulars issued by NSEIL 2009 onwards and circulars issued thereafter and circulars issued there under by SEBI, and relevant notifications of government authorities as may be in force from time to time.
- 2.2. The client shall notify the participant in writing if there is any change in the information in the 'client registration form' provided by the client to the participant at the time registering as a client for participating in the new MFSS or at any time thereafter.
- 2.3. The client shall submit to the participant a completed application form in the manner prescribed format for the purpose of placing an order with the participant.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of NSEIL, SEBI and AMFI.
- 2.7. The client shall pay to the participant, fees and statutory levies as are prevailing from time to time and as they apply to the client's account, transactions and to the services that participant renders to the client.
- 2.8. The client will furnish information to the participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation, which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of non-performance of the obligation by the participant, the client is not entitled to claim any compensation either from the investor protection fund or from any fund of NSEIL or NSCCL.
- 2.10. In case of any dispute between the participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

Thanking you,  
Yours faithfully,

x 11/14  
→

Signature of Karta (with HUF Seal)

*Sign and  
Stamp of HUF*



# VOLUNTARY DECLARATION

## AUTHORIZATION FOR MAINTENANCE OF RUNNING ACCOUNT (NSE/BSE)

Date : \_\_\_\_\_

I/We have been/shall be dealing through you as my/our broker on the Capital Market. As my/our broker i.e. agent I/we direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I am/we are aware that you and I/we have the option to deliver securities/make payments of funds to each other for settlement of dealings as per the schedule in force, at the relevant time pursuant to directives/regulations/circulars, issued by exchange/regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin/collateral without which we cannot deal/trade.

Therefore, I/we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/funds in settlement of trades/dealings, please keep the securities and monies with you and make credit entries for the same in running accounts of securities and fund maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/ funds towards such obligations and may also retain the funds expected to be required to meet

margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account, please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in statement(s) being sent, the retention of funds/ securities and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/ securities or statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever.

Please do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/ margin in the form of bank guarantee (BG)/ Fixed Deposit receipts (FDR).

Please further note that I am/We are entitled to revoke this authorization at any time. I/we shall be liable for all losses, damages and actions, which may arise as a consequence of your adhering to and carrying out my/our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/ monies under this agreement.

My/Our preference for actual settlement of funds and securities is at least:

- Once in a calendar quarter  
 Once in a calendar month

Thanking you,  
Yours faithfully,

x \_\_\_\_\_ 12/14

Signature of Karta (with HUF Seal)

Name: SHREY DHARMEESH SHAH HUF

Unique Client Code (UCC): \_\_\_\_\_



Sign and Stamp  
of HUF

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# OPTION FORM FOR ISSUE OF DIS BOOKLET

DP ID: 1 2 0 6 4 2 0 0

 Client ID 

 Date: 

Name of HUF	SHREY DHARMESH SHAH (HUF)
Name of Karta	SHREY DHARMESH SHAH

To,  
**NJ India Invest Private Limited**  
**Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna, Surat - 394 210, Gujarat.**

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

**OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

Name of HUF	
Name of Karta	
Signature of Karta (with HUF seal)	

OR

**OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

Name of HUF	
Name of Karta	
Signature of Karta (with HUF seal)	

.....(Please Tear Here).....

### Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID: 1 2 0 6 4 2 0 0

 Client ID 

Name of HUF	
Name of Karta	

Depository Participant Seal and Signature



Any one Option to be ticked then signature with stamp

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# SMS ALERT & TRUST FACILITY

Registration Form for availing SMS Alert and /or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility

**To,**  
**NJ India Invest Private Limited**  
**Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyog Nagar Sangh Commercial Complex,**  
**Central Road No.10, Udhna, Surat - 394210, Gujarat.**

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

- SMART-SMS alert facility  
 TRUST- TRansaction using Secured Texting facility

*(please note that SMS alert facility is mandatory if TRUST facility is opted for)*

BOID:

Name of HUF: SHREY DHARMESH SHAH (HUF)

Name of Karta: SHREY DHARMESH SHAH

I/We wish to register the following clearing members / IDs under my/our above mentioned BO ID registered for TRUST

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile Number on which messages are to be sent: +91 9812347890

*(Please write only the mobile number without prefixing country code or zero).  
 (Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)*

The mobile number is registered in the name of SHREY DHARMESH SHAH

Email ID: abcdef@gmail.com

*(Please write only ONE valid email ID on which communication; if any, is to be sent)*

I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

I/we acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / non-execution of the said transactions based on receipt/non-receipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

x 13/14

→ Sign and Stamp of HUF

Signature of Karta (with HUF Seal)

Date: \_\_\_\_\_

Place: \_\_\_\_\_





# SCHEDULE OF CHARGES

DP ID : 12064200

**NJ India Invest Pvt. Ltd.**

Regd. Office : Block No. 901 & 902, 6th Floor, B Tower, Udhna Udyognagar Sangh Commercial Complex,  
Central Road No.10, Udhna, Surat - 394210, Gujarat.

Particulars	Charges
Agreement charges	NIL
Annual Maintenance Charges -Normal	Individual : ₹ 300/- Corporates : ₹ 600/-
Demat / Remat charges	₹ 3/- per certificate + ₹ 50/- for courier handling per ISIN
Custody / Holding charges	Nil
Transfer security	-
Buy	Nil
Market / Off Market (Only Debit Transaction)	₹ 25/- (₹ 18/- for in house market transaction) per ISIN
Pledge (Creation/ Closure/ Invocation)	₹ 40/- per ISIN

## CONDITIONS :

1. Annual maintenance charges have to be paid at the end of 1 year from the date of account opening.
2. In case the client opts closure of the demat account within 1 year from the date of account opening, then Annual Maintenance Charges shall be charged proportionately as per SEBI circular.
3. All the charges mentioned above are inclusive of CDSL charges.
4. Service tax as applicable would be levied.
5. The above charges are subject to change with 30 days prior notice. However, in case of revision of charges by CDSL, A shorter notice may be given.
6. Charges once paid will not be refunded.
7. All instructions for transfer must be received at least one day before the execution/pay-in date.
8. Same day execution/late instructions will be accepted on "A best efforts basis" at the sole risk and responsibility of the depository account holder(s).
9. The depository services may be temporarily discontinued if the cheque given for availing DP services is returned unpaid. Intimation of discontinuation of the DP services shall be in accordance with the rules specified by CDSL. The DP services shall be resumed after recovery of the returned cheque plus 100/- as additional charges.
10. All pledging services (creation, closure and invocation) shall be separately charged at the time of each transaction.
11. Value of securities will be in accordance with the rates provided by CDSL.
12. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.

We have read and understood the charges and conditions as above and agree to abide by the same

BOID: 1 2 0 6 4 2 0 0

Name of HUF: SHREY DHARMESH SHAH (HUF)

Name of Karta: SHREY DHARMESH SHAH

x 14/14  
→

Signature of Karta (with HUF seal)

Sign and  
Stamp of HUF



**ANNEXURE D**

Sr. No.	Members Name	Gender	Date of Birth	Relationship with Karta

SPECIMEN

List of Co-parceners & details to be filled and printed on A4 size page

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief, and I undertake to inform you of any change therein, immediately. In case if the above information is found to be false or untrue or misleading or misrepresenting I am aware that I may be held liable for it.

Place: \_\_\_\_\_ Name (Karta): SHREY DHARMESH SHAM

Date: \_\_\_\_\_ Signature: \_\_\_\_\_

(Stamp of HUF)

↓  
Sign and Stamp of

HUF.



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**NON-MANDATORY - POWER OF ATTORNEY**

**POWER OF ATTORNEY IN FAVOUR OF NJ INDIA INVEST PRIVATE LIMITED**

To all to whom these presents shall come I/we

1) SHREY DHARMESH SHAH (HUF)  
residing at/ having its registered office at (As per  
KYC)

2) \_\_\_\_\_  
residing at/ having its registered office at (As per  
KYC)

3) \_\_\_\_\_  
residing at/ having its registered office at (As per  
KYC)

**Whereas** I/ we hold beneficial owner account number 12064200 \_\_\_\_\_ with Central Depository Services (India) Limited (CDSL), through NJ India Invest Private Limited registered with Securities and Exchange Board of India (SEBI).

**And Whereas** I/ we am/ are desirous to buy and sell securities through NJ India Invest Private Limited, who is a stock broker registered with SEBI and member of National Stock Exchange of India, bearing SEBI registration No. INB231360539, member of Bombay Stock Exchange, bearing SEBI registration No. INB011360535 and a Depository Participant bearing SEBI registration No. IN-DP-CDSL-548-2010

**And Whereas** I/ we am/ are desirous of appointing NJ India Invest Private Limited as my/our constituted attorney to operate my/ our beneficial owner account on my/ our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/ we do hereby nominate, constitute and appoint NJ India Invest Private Limited (hereinafter referred to as "the stock broker") as my/our true and lawful attorney and authorise it, to perform the following functions on my/our behalf:

Sign & Stamp of HUF

01/05  
x

Sign and Stamp of HUF

02/05  
x

x \_\_\_\_\_ 03/05

Signature of Karta (with HUF seal)

Sign and Stamp of HUF



## NON-MANDATORY - POWER OF ATTORNEY

i. To transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me/us in writing to the stock broker from time to time to the demat account of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID; provided that I/we have executed a Client Member Agreement with the stock broker for such exchanges.

### Details of NJ Demat Accounts where client securities can be moved:

Exchange	Accounts	Demat Account No
BSE	CM Pool Account	120642000000404
BSE	CM Principal Account	120642000000398
BSE	Early Pay in Account	1100001000020915
BSE	Client Beneficiary Account	1206420000012456
BSE	NSDL Pool Account	IN00100210008696
NSE	CM Clearing Member Account	1206420000012724
NSE	Early Pay in Account	1100001100018830
NSE	Client Beneficiary Account	1206420000015541
NSE	NSDL Pool Account	IN00100210008839

ii. To pledge the securities in favor of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker.

iii. To return to me/us, the securities that may have been received by the stock broker erroneously or those securities that the stock broker was not entitled to receive from me/us;

iv. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

v. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker.

vi. To apply for redemption or repurchase of units of mutual fund by signing & submitting requests to Depository Participant for processing on my/our behalf.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named here-in-above in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at **Block No. 901 & 902, 6th floor, 'B' Tower, Udhna Udhyog Nagar Sangh Commercial Complex, Central Road No 10, Udhna, Surat - 394 210, Gujarat.**

x 04/05

Signature of Karta (with HUF seal)

→ Sign and  
Stamp of HUF.  
Stamp



# NON-MANDATORY - POWER OF ATTORNEY

IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year herein below written.

Name: SHREY DHARMESH SHAH

x
05/05

Signature of Karta (with HUF seal)

*→ Sign and stamp of HUF.*

**In presence of**

Witness Name Dino SHAH  
I-A. Rose Apt  
 Address Ring Road.  
SURAT

Signature of Witness

x

*→ Witness Signature*

*In case Coparcener is a minor → Karta has to sign.*

Sr. No.	Name of Co-Parceners	Date of Birth (DD/MM/YY)	Gender	Relationship with Karta	Signature
1	A	10/1/1994	F	Wife.	ⓐ
2	B.	5/4/2010	M	Son	ⓑ
3	C.	21/5/2012	F	daughter	ⓒ
4					
5					
6					

We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.

**For NJ India Invest Pvt. Ltd.**

x

Name \_\_\_\_\_

Designation \_\_\_\_\_

**Authorised Signatory**

Witness Name \_\_\_\_\_

Address \_\_\_\_\_

Signature of Witness

x

Date: \_\_\_\_\_

Place: \_\_\_\_\_

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[www.njwealth.in](http://www.njwealth.in)



**FINANCIAL  
PRODUCTS  
DISTRIBUTORS  
NETWORK**

**Head Office: NJ India Invest Pvt. Ltd.,** Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No. 10, Udhna, Surat - 394 210, Gujarat.  
Phone: 91 261 3985500. Website: [www.njwealth.in](http://www.njwealth.in) CIN: U67120GJ2000PTC037674  
SEBI Reg. No. BSE - INB011360535 | NSE - INB231360539 | CDSL - IN-DP-14-2015  
**Processing Centre:** Shop No. 7 & 8 Yogi Complex, Amli, Vapi Silvassa Main Road, Silvassa - 396 230. Email: [dpservices@njgroup.in](mailto:dpservices@njgroup.in)