

## 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 (1 - 3 pages)
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	Annexure II (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 (1 - 7 pages)
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Annexure III (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 (13- 14 Pages)
5	Grievance Redressal Mechanism	Document detailing procedure filing of for investor complaint .	Annexure III (15-16 pages)
6	Policies and Procedures	Documents describing significant policies and procedures of the stock broker.	Annexure IV (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 (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 (1 – 5 pages)
9	Most Important Terms and Conditions (MITC)	Document to bring into focus the critical aspects of the broker-client relationship and for ease of understanding of the clients.	Annexure VII (1 page)
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
10	Terms of Business	Document that set out the terms and conditions upon which we will conduct business with client.	Annexure VIII (1 - 18 pages)

11	Running Account Authorisation	Letter of Authorization for maintaining a Running Account	Annexure IX (1 page)
12	FATCA CRS Declaration	Declaration for determining Tax Residency of the Clients	Annexure X (11 pages)

**Note:** Items 11 and 12 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 + 91-22-25045300 + 91-22-61928200
BSE	dis@bseindia.com	+91-22-22721233/34 + 91-22-22728517

- If not satisfied with our response you can lodge your grievances with SEBI at <http://scores.sebi.gov.in> or you may also write to any of the offices of SEBI. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.
- For Online Resolution of Disputes - access SMART ODR portal - <https://smartodr.in/login>

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