

SEBI Registration No: INZ000176135

BSE Member ID: T3119

Registered Office: 3-5-141/3/A/1, Opp. Rukmani Apartments, Beside Kacchi Bhavan, Eden Bagh, Ramkote, Hyderabad – 500001

General Email: rbjaju93@gmail.com

Phone: 040-24754126 / 040-23437513 / 040-24761003

1. Client Registration and Account Opening

- Clients must complete the KYC process in line with SEBI and BSE regulations.
- R B Jaju Securities accepts account opening requests only through physical mode.
- Clients are required to provide accurate personal, financial, and contact information.
- Clients must notify the broker promptly in case of any changes in their information.
- Additional documentation may be requested to assess client suitability and risk profile.

2. Trading Rights and Obligations

- Trading is permitted only in securities listed on the BSE.
- Clients shall place orders only through designated methods as communicated by the broker.
- R B Jaju Securities shall execute orders strictly under the unique Client Code.
- Clients must pay the required margins (initial, special, etc.) as stipulated by SEBI, BSE, or the broker.
- Brokerage shall not exceed the maximum permissible limits prescribed by SEBI/BSE.

3. Funds and Securities Settlement

- Clients must ensure timely payment of obligations towards funds and securities.
- The broker shall release payouts within one working day of receipt from the exchange.
- Margin requirements must be met in a timely manner to avoid liquidation.
- Client funds and securities shall be maintained in separate designated accounts.

4. Contract Notes and Communication

- Contract notes shall be issued within 24 hours of trade execution in physical form or digitally if opted by the client.
- Daily margin statements and periodic account statements shall be provided as per SEBI guidelines.
- Clients opting for Electronic Contract Notes (ECNs) must provide a valid email ID and acknowledge delivery.

5. Risk Disclosure and Liquidation Policy

- Clients acknowledge market risks and are responsible for their investment decisions.
- In case of non-payment of dues, R B Jaju Securities may square off positions and recover outstanding balances.
- Any losses from liquidation will be borne by the client.

6. Termination and Inactivity

- Either party may terminate the relationship with 30 days' prior written notice.
- If a sub-broker relationship terminates, the client becomes a direct client of R B Jaju Securities.
- Dormant accounts will be reviewed periodically and may be deactivated following internal policy.

7. Dispute Resolution and Grievance Redressal

- Disputes shall be resolved through arbitration in accordance with BSE/SEBI procedures.
- Clients may contact the Compliance Officer or approach the Investor Grievance Redressal Cell.
- R B Jaju Securities shall maintain records and cooperate in the resolution process.

8. Confidentiality and Data Protection

- Client information shall be kept confidential and disclosed only as per legal or regulatory requirements.
- Data privacy and integrity shall be ensured through internal controls and procedures.

9. Regulatory Compliance

- All trading activities shall be in accordance with SEBI and BSE regulations.

- Clients must not engage in fraudulent, manipulative, or illegal trading practices.
- Any changes in regulations affecting client rights shall be promptly communicated.

10. Amendments to Policy

- Mandatory clauses under SEBI/BSE rules are binding and subject to change without client consent.
- Additional non-mandatory clauses introduced by R B Jaju Securities will be notified 15 days in advance.

Jurisdiction

All transactions, rights, and obligations under this policy are subject to the jurisdiction of the competent courts as per BSE regulations.

Contact Information

Compliance Officer

Govind Jaju

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R B Jaju Securities (I) Pvt. Ltd.

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