

JM FINANCIAL SERVICES LTD.

Registered Office : 7th Floor, Chenergy Appasaheb, Marathe Marg, Prabhadevi, Mumbai - 400025 Tel No: 022 66303030 Fax No: 022 66303223
Corporate Office : 5th Floor, Chenergy Appasaheb, Marathe Marg, Prabhadevi, Mumbai - 400025 Tel No: 022 67040404 Fax No: 022 67043136
CIN. No.: U67120MH1998PLC115415, SEBI Regn.No.: INZ000195834
Visit us at : www.jmfinancialservices.in Email ID For Investor Complaints: ig.broking@jmfl.com Tel No: 022-50237000
Compliance Officer: Mr.Manishkumar Sabu(Email id: manish.sabu@jmfl.com , Tel: 022-45057400)



Dealing Office Address : OFFICE NOG1 GROUND FLOORBORIVALI NEELKANTH NGR,MUMBAI -400092, TEL NO: 30215400/30215400, FAX: 30215454, GST NO: 27AACJ5977A1ZL

RAMESH KUMAR GUPTA
G 004 SPRINGS ISLAND CITY CTR
G D AMBEKAR MARG
DADAR EAST
MUMBAI,Maharashtra - 400014

CLIENT CODE (UCC) : 10121312
Trading Back office code : 10121312
PAN NUMBER : AACPG5832G
CONTRACT NOTE NO. : 1629338
Trade Date : 03/01/2022

CLEARING CORPORATION	NCL Derivatives
SETTLEMENT NO	-
SETTLEMENT DATE	03/01/2022

Delivery Mode : By Courier

GST No. : 27AACJ5977A1ZL

Service Address : OFFICE NOG1 GROUND FLOORBORIVALI NEELKANTH NGR,MUMBAI -400092, TEL NO: 30215400/30215400, FAX: 30215454, GST NO: 27AACJ5977A1ZL

Sir/Madam,

I / We have this day done by your order and on your account the following transactions:

Order No.	Order Time	Trade No.	Trade Time	Security/Contract Description	BUY / SELL	Qty	Gross Rate/Trade Price Per Unit (₹)	Brokerage Per Unit (₹)	Net Rate Per Unit (₹)	Closing Rate per Unit (Only for Derivatives) (₹)	Net Total (Before Levies) (₹)	REMARKS
NSE - FUTURES - Ref. No: 0418008												
1200000027804421	12:44:35	200266446	12:44:35	OPTSTK BHEL 27JAN22 50.00 PE	B	31500	0.35	0.0004	0.35	0	-11040.00	
Net Total						31500	-11040.00					
ISIN :		Buy Qty : 31500		Buy Amt : 11040						Net Qty : 31500		
1200000027882186	12:45:06	200267052	12:45:06	OPTSTK BHEL 27JAN22 56.00 PE	S	31500	0.95	0.0004	0.95	0	29910.00	
Net Total						31500	29910.00					
ISIN :						Sell Qty : 31500	Sell Amt : 29910		Net Qty : 31500			
1200000027710202	12:43:56	200265795	12:44:09	OPTSTK BHEL 27JAN22 60.00 CE	B	10500	2.85	0.0004	2.85	0	-29930.00	
1200000027710202	12:43:56	200269136	12:47:05	OPTSTK BHEL 27JAN22 60.00 CE	B	10500	2.85	0.0004	2.85	0	-29930.00	
1200000027710202	12:43:56	200269205	12:47:09	OPTSTK BHEL 27JAN22 60.00 CE	B	10500	2.85	0.0004	2.85	0	-29930.00	
Net Total						31500	-89790.00					
ISIN :		Buy Qty : 31500		Buy Amt : 89790						Net Qty : 31500		
1200000027954308	12:45:40	200267567	12:45:40	OPTSTK BHEL 27JAN22 64.00 CE	S	31500	1.30	0.0004	1.30	0	40935.00	
Net Total						31500	40935.00					
ISIN :						Sell Qty : 31500	Sell Amt : 40935		Net Qty : 31500			
1300000044946742	14:11:23	300534077	14:11:23	OPTSTK GODREJPROP 27JAN22 1600.00 PE	B	975	6.15	0.0153	6.17	0	-6011.25	
Net Total						975	-6011.25					
ISIN :		Buy Qty : 975		Buy Amt : 6011.25						Net Qty : 975		
1300000045176899	14:09:29	300529993	14:09:29	OPTSTK GODREJPROP 27JAN22 1700.00 PE	S	325	15.10	0.0153	15.08	0	4902.50	
1300000045176899	14:09:29	300529994	14:09:29	OPTSTK GODREJPROP 27JAN22 1700.00 PE	S	325	15.10	0.0153	15.08	0	4902.50	
1300000045176899	14:09:29	300529995	14:09:29	OPTSTK GODREJPROP 27JAN22 1700.00 PE	S	325	15.10	0.0153	15.08	0	4902.50	
Net Total						975	14707.50					
ISIN :						Sell Qty : 975	Sell Amt : 14707.5		Net Qty : 975			
1500000030904018	14:01:56	500256359	14:01:56	OPTSTK KOTAKBANK 27JAN22 1700.00 PE	B	400	11.60	0.0125	11.61	0	-4645.00	
1500000030904018	14:01:56	500256360	14:01:56	OPTSTK KOTAKBANK 27JAN22 1700.00 PE	B	400	11.60	0.0125	11.61	0	-4645.00	
1500000030904018	14:01:56	500256361	14:01:56	OPTSTK KOTAKBANK 27JAN22 1700.00 PE	B	400	11.60	0.0125	11.61	0	-4645.00	
Net Total						1200	-13935.00					
ISIN :		Buy Qty : 1200		Buy Amt : 13935						Net Qty : 1200		
1500000030882476	14:03:11	500256945	14:03:11	OPTSTK KOTAKBANK 27JAN22 1760.00 PE	S	400	25.10	0.0125	25.09	0	10035.00	
1500000030882476	14:03:11	500256946	14:03:11	OPTSTK KOTAKBANK 27JAN22 1760.00 PE	S	800	25.10	0.0125	25.09	0	20070.00	
Net Total						1200	30105.00					

CLIENT NAME : RAMESH KUMAR GUPTA

Order No.	Order Time	Trade No.	Trade Time	Security/Contract Description	BUY / SELL	Qty	Gross Rate/ Trade Price Per Unit (₹)	Brokerage Per Unit (₹)	Net Rate Per Unit (₹)	Closing Rate per Unit (Only for Derivatives) (₹)	Net Total (Before Levies) (₹)	REM-ARKS
ISIN :					Sell Qty : 1200		Sell Amt : 30105			Net Qty : 1200		
1500000030850039	14:02:41	500256674	14:02:41	OPTSTK KOTAKBANK 27JAN22 1900.00 PE	B	400	104.15	0.0125	104.16	0	-41665.00	
1500000030850039	14:02:41	500256677	14:02:41	OPTSTK KOTAKBANK 27JAN22 1900.00 PE	B	400	104.25	0.0125	104.26	0	-41705.00	
1500000030850039	14:02:41	500256680	14:02:41	OPTSTK KOTAKBANK 27JAN22 1900.00 PE	B	400	104.25	0.0125	104.26	0	-41705.00	
Net Total					1200					-125075.00		
ISIN :				Buy Qty : 1200	Buy Amt : 125075					Net Qty : 1200		
1800000037239227	13:47:14	800477218	13:47:14	OPTSTK SBIN 27JAN22 430.00 PE	B	1500	2.45	0.0033	2.45	0	-3680.00	
1800000037239227	13:47:14	800477219	13:47:14	OPTSTK SBIN 27JAN22 430.00 PE	B	1500	2.45	0.0033	2.45	0	-3680.00	
1800000037239227	13:47:14	800477220	13:47:14	OPTSTK SBIN 27JAN22 430.00 PE	B	1500	2.45	0.0033	2.45	0	-3680.00	
Net Total					4500					-11040.00		
ISIN :				Buy Qty : 4500	Buy Amt : 11040					Net Qty : 4500		
1800000037266506	13:47:31	800477567	13:47:36	OPTSTK SBIN 27JAN22 455.00 PE	S	1500	6.90	0.0033	6.90	0	10345.00	
1800000037266506	13:47:31	800477568	13:47:36	OPTSTK SBIN 27JAN22 455.00 PE	S	1500	6.90	0.0033	6.90	0	10345.00	
1800000037266506	13:47:31	800477579	13:47:37	OPTSTK SBIN 27JAN22 455.00 PE	S	1500	6.90	0.0033	6.90	0	10345.00	
Net Total					4500					31035.00		
ISIN :					Sell Qty : 4500		Sell Amt : 31035			Net Qty : 4500		
1800000037196005	13:46:50	800476906	13:46:50	OPTSTK SBIN 27JAN22 500.00 PE	B	1500	34.00	0.0033	34.00	0	-51005.00	
1800000037196005	13:46:50	800476907	13:46:50	OPTSTK SBIN 27JAN22 500.00 PE	B	1500	34.00	0.0033	34.00	0	-51005.00	
1800000037196005	13:46:50	800476908	13:46:50	OPTSTK SBIN 27JAN22 500.00 PE	B	1500	34.00	0.0033	34.00	0	-51005.00	
Net Total					4500					-153015.00		
ISIN :				Buy Qty : 4500	Buy Amt : 153015					Net Qty : 4500		
1800000030475572	12:52:38	800415488	12:52:38	OPTSTK TATAMOTORS 27JAN22 420.00 PE	B	2850	1.50	0.0017	1.50	0	-4280.00	
1800000030475572	12:52:38	800415489	12:52:38	OPTSTK TATAMOTORS 27JAN22 420.00 PE	B	2850	1.50	0.0017	1.50	0	-4280.00	
Net Total					5700					-8560.00		
ISIN :				Buy Qty : 5700	Buy Amt : 8560					Net Qty : 5700		
1800000030524090	12:52:59	800415821	12:52:59	OPTSTK TATAMOTORS 27JAN22 450.00 PE	S	2850	3.90	0.0017	3.90	0	11110.00	
1800000030524090	12:52:59	800415822	12:52:59	OPTSTK TATAMOTORS 27JAN22 450.00 PE	S	2850	3.90	0.0017	3.90	0	11110.00	
Net Total					5700					22220.00		
ISIN :					Sell Qty : 5700		Sell Amt : 22220			Net Qty : 5700		

Exchange & Segment	PAY IN/ PAY OUT OBLIGATION	Securities Transaction Tax	Taxable Value of Supply	CGST (@9%)	SGST (@9%)	UTT	IGST	Exchange Transaction Charges	SEBI turnover Fees	Stamp Duty	Clearing charges FNO	Net Amount Receivable by Client / (Payable by Client)
NSE_FUTURES	-249553.75	85.00	538.27	48.44	48.44	0.00	0.00	311.31	0.53	12.00	26.43	-250085.91
TOTAL_NET	-249553.75	85.00	538.27	48.44	48.44	0.00	0.00	311.31	0.53	12.00	26.43	-250085.91

** Net Rate Per Unit (Rs) has been rounded off for display purpose.

*** Please note the buy/sell rate is rounded off to 2 decimals whereas the value is calculated upto 4 decimal places.

#SMT means Sebi Margin Funding trade * CGST:-Central GST; SGST: - State GST; IGST:-Integrated GST; UTT: - Union Territory Tax. Details of trade-wise levies shall be provided on request.

Transactions mentioned in this contract note cum bill shall be governed and subject to the Rules, Bye-laws and Regulations and Circulars of the respective Exchanges on which trades have been executed and Securities and Exchange Board of India from time to time. The Exchanges provide Complaint Resolution, Arbitration and Appellate arbitration facilities at the Regional Arbitration Centres (RAC). The client may approach its nearest centre, details of which are available on respective Exchange's website. Please visit www.nseindia.com for NSE., www.bseindia.com for BSE., www.mseil.in for MSEI.

Investor who purchase/hold equity shares of any recognized stock Exchange/Clearing Corporation shall abide by the Regulation 19 and 20 of Securities Contract (Regulation) (Stock Exchange and Clearing Corporation) Regulations, 2012 and Schedule II of the SEBI (Intermediaries) Regulation, 2008.

Regulation 19 and 20 of Securities Contract (Regulation) (Stock Exchange and Clearing Corporation) Regulations, 2012-

Eligibility for acquiring or holding shares.

19.

(1) No person shall, directly or indirectly, acquire or hold equity shares of a recognised stock exchange or recognized clearing corporation unless he is a fit and proper person.

(2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two percent of the paid up equity share capital of a recognised stock exchange or recognised clearing corporation shall seek approval of the Board within fifteen days of the acquisition.

(3) A person eligible to acquire or hold more than five percent of the paid up equity share capital under sub-regulation(2) of regulation17 and sub-regulation(2) of regulation



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18 may acquire or hold more than five percent of the paid up equity share capital of a recognised stock exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.

(4) Any person holding more than two percent of the paid up equity share capital of the recognised stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.

(5) If approval under sub-regulation(2) or (4) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.

(6) Any person holding more than two percent of the paid up equity share capital in a recognised stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognised clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.

Fit and proper criteria.

20.

(1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if

(a) such person has a general reputation and record of fairness and integrity, including but not limited to

- (i) financial integrity;
- (ii) good reputation and character; and
- (iii) honesty;

(b) such person has not incurred any of the following disqualifications

- (i) the person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;
- (ii) an order for winding up has been passed against the person;
- (iii) the person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;
- (iv) an order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
- (v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
- (vi) the person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and
- (vii) the person is financially not sound.

(2) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final.

Investors who purchase / hold equity shares of any listed Depositories shall abide by the Regulation 6(B) of SEBI (Depositories and Participants) Regulations, 2012.

Relevant Extract of the Regulation is given hereunder -

Eligibility for acquiring or holding shares in a depository

6B. (1) No person shall, directly or indirectly, acquire or hold equity shares or voting rights of a depository unless he is a fit and proper person.

(2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquires equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a depository, shall seek approval of the Board within fifteen days of the acquisition.

(3) Any person holding more than two per cent of the paid up equity share capital of the depository on the date of commencement of the Securities and Exchange Board of India (Depositories and Participants) (Amendment) Regulations, 2012, shall seek approval of the Board within a period of ninety days from the date of such commencement.

(4) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.

(5) Any person holding more than two per cent of the paid up equity share capital in a depository shall file a declaration within fifteen days from the end of every financial year to the depository that he complies with the fit and proper criteria.

(6) Save as otherwise provided in these regulations, the shareholding or voting rights of any person in a depository shall not exceed the limits specified in these regulations at any point of time.

(7) For determining the shareholding of any person in a depository as specified in these regulations, any instrument held, owned or controlled, directly or indirectly, by him that entitles him the voting rights or provides for entitlement to voting rights or equity shares or any other rights over equity shares at any future date, shall also be included.

Fit and proper criteria:

Criteria for determining a fit and proper person as per Schedule II of the SEBI (Intermediaries) Regulations, 2008

For the purpose of determining as to whether an applicant or the intermediary is a fit and proper person the Board may take account of any consideration as it deems fit, including but not limited

to the following criteria in relation to the applicant or the intermediary, the principal officer, the director, the promoter and the key management persons by whatever name called

- (a) Integrity, reputation and character;
- (b) Absence of convictions and restraint orders;
- (c) Competence including financial solvency and Network;
- (d) Absence of categorization as a wilful defaulter.

Purchase of Right Entitlements (REs) in Right Issue

1. The purchase of the REs only gives the client the right to participate in the ongoing Rights Issue of the concerned company by making an application with requisite application money or renounce the said REs before the issue closes.

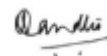
2. The client who wants to participate in the aforesaid Right Issue will have to make an application by paying requisite application money or renounce their REs before the issue closes.

3. The REs which are neither subscribed by making an application with requisite application money nor renounced, on or before the Rights Issue closing date shall lapse and shall be extinguished after the Rights Issue closing date.

CLIENT NAME : RAMESH KUMAR GUPTA

DP Details	CMBP ID	CM NAME & DP NAME	DP ID	CM CLIENT ID
BSE	IN653884	JM FINANCIAL SERVICES LIMITED	IN302927	10000046
NSE	IN562531	JM FINANCIAL SERVICES LIMITED	IN302927	10000038

Yours faithfully,
For JM Financial Services Ltd.



Date : 03/01/2022

Place : Mumbai

PAN of Trading Member: AAACJ5977A
GSTIN of Trading Member: 27AAACJ5977A1ZL
Description of Service: Stock Brokers Services
Accounting code of services: 997152
AUTHORISED SIGNATORIES : Nirav Gandhi