



## **GnG STOCK HOLDINGS PVT. LTD.**

Member : National Stock Exchange of India Limited

Member : BSE Limited • Member : Association of Mutual Funds in India

**SEBI Regn. No. INZ000266439**

**DP - CDSL • DP ID - 12066500 • SEBI Regn. No.: IN-DP-CDSL-74-2015**

**AMFI Regn. No. : ARN-108533**

### **CLIENT REGISTRATION FORM**

Branch Code

Group Code

Client Code

Client Name

DP A/c No.

**12066500**

Type of A/c

Date of Opening

CKYC No.

Form No.

File No.

#### **Regd. Head Office :**

Y-12, Loha Mandi, Naraina, New Delhi - 110028

Tel: 011-41441150, Fax: 011-25893508

E-mail: [gngstock@hotmail.com](mailto:gngstock@hotmail.com), Website : [www.gngstock.com](http://www.gngstock.com)

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners /Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- PAN card with photograph.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(\*Documents having an expiry date should be valid on the date of submission.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook -- Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary, public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/ document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

(Sufficient documentary evidence in support of such claims to be collected.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from Pay-ing taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.
- In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents

### F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of Entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>Copy of the Board Resolution for investment in securities market.</li> <li>Authorised signatories list with specimen signatures.</li> </ul>
Partnership Firm	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Copy of partnership deed.</li> <li>Photograph, POI, POA, PAN of Partners.</li> <li>Certificate of registration (for registered partnership firms only).</li> <li>Authorised signatories list with specimen signatures.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Copy of Trust deed.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> <li>Certificate of registration (for registered trust only).</li> <li>List of trustees certified by managing trustees/CA.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>PAN of HUF.</li> <li>Bank pass-book/bank statement in the name of HUF.</li> <li>Deed of declaration of HUF/ List of coparceners.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> <li>Proof of Existence/Constitution document.</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Foreign institutional Investors (FII)	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate.</li> <li>Authorized signatories list with specimen signatures</li> </ul>
Army/ Government Bodies	<ul style="list-style-type: none"> <li>Self-certification on letterhead.</li> <li>Authorized signatories list with specimen signatures</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>List of Managing Committee members.</li> <li>True copy of Society Rules and Bye Laws certified by the</li> </ul>

## INSTRUCTIONS/ CHECK LIST (for filling additional information related to trading account)

### 1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
  - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person
- For non-individuals:
  - Form need to be initialized by all the authorized signatories.
  - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

verification. Further, considering the infeasibility of carrying out 'in-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

**ACCOUNT OPENING KIT - NSE, BSE, CDSL****INDEX**

<b>Location</b>	
<b>Client Code</b>	

<b>S.N</b>	<b>Name of the Document</b>	<b>Brief Significance of the Documents</b>	<b>Page.No.</b>
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**MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

1.	Account Opening Form	A. KYC form-Document captures the basic information about the constituent. Declaration of HUF.	1-7 8
		FATCA & CRS Declaration - Non Individual	9-10
		B. Document captures the additional information about the constituent relevant to trading and demat account and Instruction checklist. Risk Disclosure on Derivatives.	11- 19
2.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)/Amount of Charges levied on the client of depository.	20-21
3.	Rights and Obligations	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	22-23
4.	Terms & Conditions	SMS Alert Terms and Conditions-Cum-Registration / Modification form for receiving SMS alerts from CDSL	24-25
5.	Rights and Obligations/Internet Trading	Documents 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)	26-29
6.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	30-33
7.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	34
8.	Policies and Procedures	Document describing significant policies and procedures of the Stock Broker.	35-36

**VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**

9.	Standing Instructions / Authorisation / Name Mismatch	Standing Instruction Regarding order placement & Trade Confirmation, Declaration For Name Difference	38
10.	Client Defaulter Declaration	Declaration for not involving in Terrorist Activity & Not declared as defaulter by SEBI/NSE/BSE/etc	39
11.	Debit of DP Charges	Debit of Depository Charges from Trading Account	39
12.	Pro Trading Declaration	Pro Trading Declaration	39
13.	Running Account Authorisation	Authorisation for Maintaining Account on Running Account Basis	40
14.	DDPI	Demat Debit & Pledge Instruction	41
15.	Mutual Fund Form/BSE STAR	BSE STAR Mutual Fund Form	42
16.	Mutual Fund Mandate	Mutual Fund Mandate Form	44
17.	Option form for Issue of DIS Booklet	Option form for Issue of DIS Booklet	46
18.	Board of Resolution in case Corporate / Trust	Format	48



## GnG Stock Holdings Pvt. Ltd.

CIN NO. : U67120DL2004PTC128833

EXCHANGE NAME	SEGMENT	SEBI REGISTRATION NO.	DATE
NSE	Cash	INZ000266439	18/05/2005
NSE	F&O	INZ000266439	18/05/2005
NSE	Currency Derivatives	INZ000266439	22/09/2014
BSE	Cash	INZ000266439	23/11/2010
BSE	F&O	INZ000266439	23/11/2010
CDSL	DP ID : 12066500	IN-DP-CDSL-74-2015	06/05/2015

### Registered & Correspondence Office Address:

Y-12, Loha Mandi Naraina, New Delhi-110028

Phone: 91-11-41441150 • Fax : 91-11-25893508

E-mail : gngstock@hotmail.com • Website: www.gngstock.com

Investor Grievance Email ID : investor@gngstock.com

### Compliance Officer Details

Name : Madhav Prasad Suaro

Phone No. : 91-9650797400

E-mail Id : msuaro@yahoo.com

### CEO Details

Name : Sudhir Gupta

Phone No. : 91-9958994700

E-mail Id : gngstock@hotmail.com

### Clearing Member Details

Name : Globe Capital Market Ltd.

SEBI Regn. No. : INZ000177137

Regd. Office : 609, Ansal Bhawan, 16, K.G. Marg, Connaught Place, New Delhi-110001

Phone No. : +91-11-30412345

Fax : +91-11-23720883

Email Id : mail@globecapital.com

For any grievance/dispute please contact GnG Stock Holdings Pvt. Ltd. at the Y-12, Loha Mandi Naraina, New Delhi-110028 or email id- gngstock@hotmail.com and Phone No. +91-11-41441150. In case not satisfied with the response, please contact the concerned exchange(s) at :

### Exchange Name

NSE

BSE

CDSL

### Email ID

ignse@nse.co.in

is@bseindia.com

complaints@cdslindia.com

### Phone No.

1800220058

+91-22-22728097

+91-22-22723333

### Website

www.nseindia.com

www.bseindia.com

www.cdslindia.com

**MANDATORY  
DOCUMENTS**



**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only** (To be filled by financial institution)

Application Type\*  New  Update

KYC Number                     (Mandatory for KYC update request)

Account Type\*  Normal  Simplified (for low risk customers)  Small

**1. PERSONAL DETAILS** (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Nationality/Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife
	<input type="checkbox"/> B-Business	<input type="checkbox"/> Student		
	<input type="checkbox"/> X- Not Categorised			

**PHOTO**

Cross Signature / Thumb Impression

**2. TICK IF APPLICABLE**  RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*

ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

**4. PROOF OF ADDRESS (PoA)\***

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type\*  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)

Voter Identity Card  NREGA Job Card  Others

Simplified Measures Account - Document Type code

**Address**

Line 1\*

Line 2

Line 3

District\*

Pin / Post Code\*

State / U.T Code\*

ISO 3166 Country Code\*



4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS\* (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1\*   
Line 2   
Line 3  City / Town / Village\*   
District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details  Same as Correspondence / Local Address details

Line 1\*   
Line 2   
Line 3  City / Town / Village\*   
State\*  ZIP / Post Code\*  ISO 3166 Country Code\*

5. CONTACT DETAILS (All communications will be sent on provided Mobile Number / Email ID (please refer instruction F at the end))

Tel.     Tel. (Res)     Mobile      
FAX     Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Prefix  First Name  Middle Name  Last Name

Name\*

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)

A- Passport Number  Passport Expiry Date   -   -

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date   -   -

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

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 changes therein, immediately. In case any of 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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :    -    -       Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date   -   -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch  H E A D O F F I C E

In person verification done by

[Employee Signature]

INSTITUTION DETAILS

Name  GNG STOCK HOLDINGS PVT. LTD.

Code  I N 0 4 5 6

[Institution Stamp]



**General Instructions:**

- 1 Fields marked with ‘\*’ are mandatory fields.
- 2 Tick ‘✓’ wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of ‘Small Account type’ only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling ‘Personal Details’ section**

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father’s name or spouse’s** name is to be mandatorily furnished. In case PAN is not available father’s name is mandatory.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

- 1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a “Functional equivalent”), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling ‘Proof of Identity [PoI]’ section**

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if ‘Z- Others (any document notified by the central government)’ is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant’s photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

**D Clarification / Guidelines on filling ‘Proof of Address [PoA] - Current / Permanent / Overseas Address details’ section**

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

**E Clarification / Guidelines on filling ‘Proof of Address [PoA] - Correspondence / Local Address details’ section**

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill ‘**Annexure A1**’

**F Clarification / Guidelines on filling ‘Contact details’ section**

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add ‘0’ in the beginning of Mobile number.

**G Clarification / Guidelines on filling ‘Related Person details’ section**

- 1 Provide KYC number of related person if available.

**H Clarification / Guidelines on filling ‘Related Person details – Proof of Identity [PoI] of Related Person’ section**

- 1 Mention identification / reference number if ‘Z- Others (any document notified by the central government)’ is ticked.

**List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988**

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**List of ISO 3166 two- digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		



## INSTRUCTIONS / CHECK LIST FORM FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCIC overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/ Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

#### (\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/ling tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCI/snt for all, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

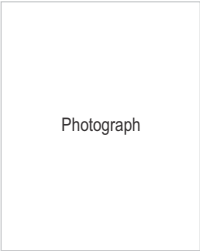
### F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below :

Type of Entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
Partnership Firm	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only).</li> <li>• Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Army/Government Bodies	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

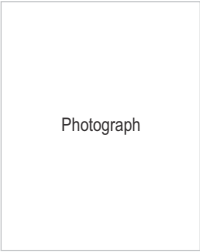
**Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals**

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

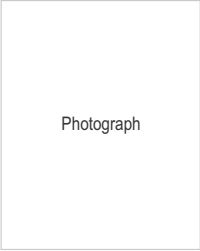
1. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Whether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO



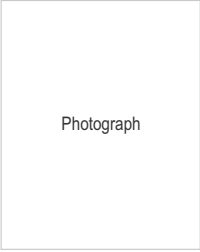
2. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Whether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO



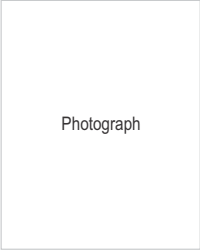
3. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Whether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO



4. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Whether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO



5. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Whether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO



(2)  
 Name & Signature of the Authorised Signatory(ies)

Date  /  /

**Declaration to be signed by all the members of HUF [applicable in case of 'HUF' Client]**

To, Name of Karta : .....  
**GnG Stock Holdings Pvt. Ltd.** Date of Birth of Karta : DD / MM / YYYY  
 Y-12, Loha Mandi Naraina, PAN No. of Karta : | | | | | | | | | |  
 New Delhi-110028

Dear Sir,

As our HUF firm wishes to open trading and demat A/c in the said name \_\_\_\_\_ we beg to say that the first signatory to this letter, i.e \_\_\_\_\_ is the karta of the joint. Family and other signatories are the adult co-parceners of the said family. we have no objection to the Karta, Mr. \_\_\_\_\_ operating a trading and demat a/c with M/s. GnG Stock Holdings Pvt. Ltd.

We further confirm that the business of the said joint family is carried on mainly by the said karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the trading and demat from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said act,

we here by undertake to inform the DP of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

Name of Co-parcener/Karta	Sex	Date of Birth	Relationship with Karta	Signature
1.				⊗
2.				⊗
3.				⊗
4.				⊗
5.				⊗

Yours truly,

Name \_\_\_\_\_

 (3) Signature of Karta \_\_\_\_\_



# FATCA & CRS Declaration – Non Individual

Name of the entity

Type of address given at KRA  Residential or Business  Residential  Business  Registered Office  
 "Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes"

Pan Trading Code DP ID - 12066500

Date of Incorporation City of Incorporation

Country of Incorporation

Entity Constitution Type (Please tick as appropriate)  
 Partnership Firm  HUF  Private Limited Company  Public Limited Company  Society  AOP / BOI  
 Trust H Liquidator  Limited Liability Partnership  Artificial Juridical Person  FII  FIL  FBI-I  FBI-II  
 FBI-III  Bank  Government Body  Non-Government Origination  Defence  Society  Other \_\_\_\_\_

Please tick the applicable tax resident declaration –  
 1. Is "Entity" a tax resident of any other than India  Yes  No  
 (if yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number%	Identification Type (TIN or Other, please specify)
1			
2			
3			
4			

In case Tax Identification Number is not available, kindly provide its functional equivalents.  
 In case TIN or its functional equivalent is not available, please provide Company Identification Number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation/Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

## FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

### PART – A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial institution  Or Direct reporting NFE (Refer 3(ii) of Part D) (please tick as appropriate)

**GIIN not available** (please tick as applicable)

**GIIN** \_\_\_\_\_

**Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below  
 Name of sponsoring entity \_\_\_\_\_

Applied for  Not obtained – Non-participating FI  
 Not required to apply for—please specify 2 digits sub-category    
 (Refer I A of Part D)  Not obtained – Non-participating FI

### PART – B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part D)  
 Yes  (If yes please specify any one stock exchange on which the stock is regularly traded)  
 Name of stock exchange \_\_\_\_\_

2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part D)  
 Yes  (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)  
 Name of listed company \_\_\_\_\_  
 Nature of relation:  Subsidiary of the Listed Company or  Controlled by a Listed Company  
 Name of stock exchange \_\_\_\_\_

3. Is the Entity an active NFE (Refer 2c of Part D)  
 Yes  (If yes, please fill UBO declaration in the next section.)  
 Nature of Business \_\_\_\_\_  
 Please specify the sub-category of Active NFE  (Mention code – refer 2c of Part D)

4. Is the Entity a passive NFE (Refer 3(ii) of Part D)  
 Yes  (If yes, please fill UBO declaration in the next section.)  
 Nature of Business \_\_\_\_\_



**UBO Declaration**

**Category (Please tick applicable category):**  Unlisted Company  Partnership Firm  Limited Liability Partnership Company  
 Unincorporated association / body of individuals  Public Charitable Trust  Religious Trust  Private Trust  
 Others (please specify) \_\_\_\_\_

Please list below the details of controlling persons(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

Owner-documented FFI's (Refer 3(vi) of Part D) should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name –Beneficial owner/ Controlling person Country – Tax Residency* Tax ID No. – Or functional equivalent for each country%	Tax ID Type - TIN or Other , please specify Beneficial Interest - in percentage TYPE Code (Refer 3(iv)(A) of Part D) - of Controlling person	Address - Include State , Country, PIN/ ZIP Code & Contact Details Address Type -
1. Name	Tax ID Type	Address
Country	Type Code	
Tax ID No. %	Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business	
	<input type="checkbox"/> Registered Office	Zip:           State: Country:
2. Name	Tax ID Type	Address
Country	Type Code	
Tax ID No. %	Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business	
	<input type="checkbox"/> Registered Office	Zip:           State: Country:
3. Name	Tax ID Type	Address
Country	Type Code	
Tax ID No. %	Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business	
	<input type="checkbox"/> Registered Office	Zip:           State: Country:

#If passive NFE, please provide below additional details. (Please attach additional sheets if necessary)

PAN/ Any other Identification Number (PAN, Aadhar, Passport, Election ID, Govt. ID Driving License NREGA Job Card, others) City of Birth – Country of Birth	Occupation Type –Service , Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
1. Name	Occupation Ty	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Country of Birth	Father's Name	<input type="checkbox"/> Others
2. Name	Occupation Ty	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Country of Birth	Father's Name	<input type="checkbox"/> Others
3. Name	Occupation Ty	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Country of Birth	Father's Name	<input type="checkbox"/> Others

# Additional details to be filled by controlling persons with tax residency/ permanent residency/ citizenship/ Green Card in any country other than India:

- \*To include US, where controlling person is a US citizen or green card holder
- % In case Tax Identification Number is not available, Kindly provide functional equivalent

**FATCA – CRS Terms and Conditions**

The central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian Financial Institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30days.

Please note that you may receive more than one request for information if you have multiple relationship with (insert FL's name) or its group entities.

Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.


If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such as identifiers. If no TIN is Yet available or has not been issued, please provide an explanation and attach this to the form. (Refer 3(vi) of part D)

**Certification**

I / We have understood the information requirements of this form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provide by me /us on this form is true, correct and complete. I/We also confirm that I/ We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name																					
Designation																					

 (4) Signature	Signature	Signature	Place _____ Date ____/____/____

**PART-II TRADING & DEPOSITORY ACCOUNT RELATED DETAILS**

**FOR INDIVIDUALS & NON-INDIVIDUALS**



GnG Stock Holdings Pvt. Ltd.  
**CIN No. : U67120DL2004PTC128833**  
 Regd. Office: Y-12, Loha Mandi Naraina, New Delhi-110 028  
 Phones: 91-11-4144 1150, Fax : 91-11- 2589 3508  
 E-mail : gngstock@hotmail.com, dp@gngstock.com • Website: www.gngstock.com

(To be filled by the Depository Participant Trading Member )

Application No.								Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.								UCC Code								
DP ID	1	2	0	6	6	5	0	0	Client ID							
Exchange Name & ID																

To be filled by the applicant in block Letter in English

I/We request you to open a Trading & Depository account in my/our name as per the below mentioned details and request you to map my/our Client Id so allotted for depository account opened alongwith my/our trading account as my/our primary depository account and other depository account, if any, mentioned below as my/our additional depository account.

DETAILS OF ACCOUNT HOLDER(S)			
Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
UID			
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Others (Please specify; _____)
Brief details			
Please Tick (✓) if Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)

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.	

Type of Account (Please tick whichever is applicable)		FOR INDIVIDUAL
Status	Sub – Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify)_____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify)_____	

<b>GUARDIAN DETAILS (where sole holder is a minor) :</b>	
[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]	
Guardian Name	
Relationship of guardian with applicant	PAN

TYPE OF ACCOUNT (Please tick whichever is applicable)						FOR NON-INDIVIDUAL							
Status						Sub – Status							
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FI <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____						<b>To be filled by the DP</b>							
SEBI Registration No. (If Applicable)				SEBI Registration Date		D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If Applicable)				RBI Approval date		D	D	M	M	Y	Y	Y	Y
Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____											

ANNUAL INCOME DETAILS (Please Specify)										
Income Range per annum <input type="checkbox"/> upto ₹ 1Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> More than ₹ 25 Lac										<b>FOR INDIVIDUAL</b>
Networth Amount (₹) _____ as on		D	D	M	M	Y	Y	Y	Y	
Income Range per annum <input type="checkbox"/> upto ₹ 1Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> ₹ 25-1 Crore <input type="checkbox"/> More than ₹ 1 Crore										<b>FOR NON-INDIVIDUAL</b>
Networth Amount (₹) _____ as on		D	D	M	M	Y	Y	Y	Y	
I/ We wish to receive dividend / interest directly in to 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 type="checkbox"/> Yes <input type="checkbox"/> No

BANK ACCOUNT DETAIL (S)[Dividend Bank Details]					
Sr.	Bank Name	Branch Address & Pin Code	Type of Bank Account / A/c No.	In case of NRI	MICR Code
1.			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ No. _____	<input type="checkbox"/> NRE <input type="checkbox"/> NRO	_____ IFSC Code _____
2.			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____ No. _____	<input type="checkbox"/> NRE <input type="checkbox"/> NRO	_____ IFSC Code _____
(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) 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.					
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')				[Automatic Credit] <input 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 type="checkbox"/> No	
Account Statement Requirement		<input 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 mentioned in the KYC Form.					<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA					<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)					

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> [(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). Refer to Terms and Conditions Annexure – 2.6	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. <input type="checkbox"/> Yes <input type="checkbox"/> No 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)		
<i>Easi</i>	To register for Easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.			

<b>PROOF OF FINANCIAL DETAILS (mandatory in case of Derivative / currency) - TRADING</b>			
<input type="checkbox"/> Copy of ITR acknowledgment	<input type="checkbox"/> Copy of Annual Accounts	<input type="checkbox"/> Copy of Form NO-16	<input type="checkbox"/> Copy of salary Slips
<input type="checkbox"/> Copy of Bank Statement of Last 6 months	<input type="checkbox"/> Copy of Demat Holdings Statement	<input type="checkbox"/> Networth Certificate	

<b>DEPOSITORY ACCOUNT(S) DETAILS - TRADING</b>					
S.No.	Name of Depository	DP ID	Client ID	DP Name	Beneficiary Name
1.	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL				
2.	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL				
* If demat account(s) to be mapped is/are already opened then Copy of client master or latest statement of holding is required.					

<b>TRADING PREFERENCES</b>		
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.		
NSE & BSE		
Cash	F&O	Currency
<input type="checkbox"/> (5a)	<input type="checkbox"/> (5b)	<input type="checkbox"/> (5c)
If you do not wish to trade in any of segments, please mention here _____ .		
# 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.		

<b>PAST ACTIONS - TRADING</b>
Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, give details (attached annexure if required) ..... ..... .....

<b>CLEARING MEMBER DETAILS (To be filled by CMs only) - DP</b>			
Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id	Trading member ID		

DEALINGS THROUGH OTHER STOCK BROKERS - TRADING	
Whether dealing with any other stock broker (in case dealing with multiple stock brokers, provide details of all)	
Name of Stock Broker	
Registered Office Address	
Client Code	Exchange
Details of disputes/dues pending from/to such stock broker.	

ADDITIONAL DETAILS	
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Physical Contract Note <input type="checkbox"/> Electronic Contract Note (ECN)
I/We wish to avail facility provided by the exchange	<input type="checkbox"/> SMS Alert <input type="checkbox"/> E-mail Alert <input type="checkbox"/> Both
In case of ECN / E-mail Alert Pls. Specify your Email id	
In case of SMS Alert Pls. Specify your Mobile No	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment/Trading Experience	
Any other information	
I/We wish to Receive Contract Note and other related reports/statements/documents in electronic mode <input type="checkbox"/> YES <input type="checkbox"/> NO Email/SMS alerts form exchanges/depository will be sent on mobile No & Email id mentioned in KYC Form:	
<b>Mobile No Belongs to</b> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Director <input type="checkbox"/> Partner <input type="checkbox"/> Trustee <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent parent <input type="checkbox"/> Major Shareholder <input type="checkbox"/> Co-parceners    Pan No _____ Registered in the name of _____	
<b>E-Mail Id Belongs to</b> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Director <input type="checkbox"/> Partner <input type="checkbox"/> Trustee <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent parent <input type="checkbox"/> Major Shareholder <input type="checkbox"/> Co-parceners    Pan No _____ Registered in the name of _____	

INTRODUCER DETAILS (Optional)		
Name of the Introducer		
Status of the Introducer	<input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify	
Address of Introducer		
	City/Town/Village	PIN Code
	State	Country
Phone No.	Signature of the Introducer	
Client Code/Client ID (if Existing Client)		

## Nomination Details

<b>Nomination Registration No</b>	<b>Date</b>
-----------------------------------	-------------

### BO Account Details

UCC (Trading Code)																
DP ID	1	2	0	6	6	5	0	0	Client ID							
Name of the Sole / First Holder																
Name of Second Holder																
Name of Third Holder																

**To,**  
**GnG Stock Holdings Pvt. Ltd.**  
 Y-12, Loha Mandi Naraina, New Delhi-110028  
 Ph.: 91-11-41441150

Dear Sir/Madam,

I/We hereby confirm that I/We **do not wish to appoint any nominee in my demat account** and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my / our demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account.

[Strike out what is not applicable.] [Signature of all account holders should be obtained on the form].

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures			

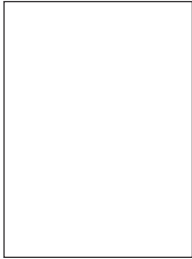

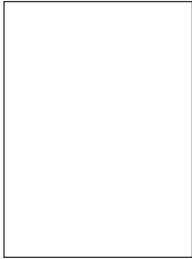
Note:

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination].

I/We **nominate** the following persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:	.....	.....	.....
Middle Name:	.....	.....	.....
*Last Name:	.....	.....	.....
*Percentage of allocation of securities: <input type="checkbox"/> Equity [If not equally, please specify percentage]	%	%	%
<b>Or</b>			
<input type="checkbox"/> <b>Share of each Nominee</b>			

Any odd lot after division shall be transferred to the first nominee mentioned in the form.

Nomination Identification Details- [Please tick any one of following and provide details of same]	Nominee 1	Nominee 2	Nominee 3
<input type="checkbox"/> Photograph & Signature			
<input type="checkbox"/> PAN			
<input type="checkbox"/> Aadhaar			
<input type="checkbox"/> Saving Bank Account No.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID [Optional Fields]			
*Address:			
*City:			
*State:			
*Pin:			
*Country:			
Mobile No./ Telephone No: [Optional Field]			
Email ID: [Optional Fields]			
Fax No.: [Optional Fields]			
*Relationship with the BO:			
<b>To be filled only if nominee(s) is a minor:</b>			
Date of Birth (mandatory if Nominee is a minor): dd-mm-yyyy	.....	.....	.....
Name of Guardian	*First Name: ..... Middle Name: ..... *Last Name: .....	..... ..... .....	..... ..... .....



*Address of the Guardian of Nominee:			
*City:			
*State:			
*Pin:			
Age			
Mobile No./ Telephone No: [Optional Field]			
Email ID: [Optional Fields]			
Fax No.: [Optional Fields]			
*Relationship of the Guardian with the Nominee:			
Guardian Identification Details- [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID [Optional Fields]			

**Note:** Residual securities: in case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee.

**\* Marked is Mandatory field**

Note:

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt. out nomination.

**Details of the Witness**

	Witness Detail
Name of Witness	
Address of Witness	
Signature of Witness	

This nomination shall supersede any prior nomination made by the account holders(s), if any.




Place: .....

Date: .....

## DECLARATION

1. 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 undertake to inform you of any changes 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.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. 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 stock broker's designated website, if any.
4. I/We declare that **GnG Stock Holdings Pvt. Ltd.**, the brokers, has put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

## SIGNATURES OF ALL HOLDERS

	Signature of Sole/ First Holder/ Guardian (in case of Minor) / Auth. Signatory	Signature of Second Holder / Auth. Signatory	Signature of Third Holder / Auth. Signatory
Name			
Signatures	 (6)		
Designation			

Place : .....

Date : .....

**RISK DISCLOSURES ON DERIVATIVES**

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to ₹ 50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source:

1. SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment", wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

I have read and understood the above-stated Risk Disclosure and acknowledge the same.

Signature of Client  (7)**BASIC SERVICE DEMAT ACCOUNT (BSDA) FACILITY**

- I/We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form.
- I/We do not wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form.

 (8)**DECLARATION BY NRI**

The Manager  
 Depository Division  
 Regd. Office: Y-12, Loha Mandi Naraina, New Delhi-110 028

**SUB : FEMA Declaration**Ref : My Demat Account No. 

1	2	0	6	6	5	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

This has reference to my demat account under NRI-Repatriable/Non Repatriable Category.

I hereby declare that I have complied and will continue to comply with FEMA Regulations Act 1999.

Thanking you,

Your faithfully,

 (9)**FOR OFFICE USE ONLY**UCC Code allotted to the Client: ..... Client Risk Profile : HIGH  MEDIUM  LOW 

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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 my/our website, if any, for the information of the clients

Signature of the Authorised Signatory

Date: .....

Seal/Stamp of the Stock Broker

## TARIFF SHEET

### CASH SEGMENT

Brokerage Slab	Slab %	Minimum Paise
Delivery Based		
Daily Square up		

### DERIVATIVES SEGMENT

Futures		Options
Slab %	Minimum	Rs. Per Lot (each side)

### CURRENCY DERIVATIVES SEGMENT

Futures		Options
Slab %	Minimum	Rs. Per Lot (each side)

 (10)

Client Signature

Signature of Branch Head \_\_\_\_\_



## GnG Stock Holdings Pvt. Ltd.

CIN NO.: U67120DL2004PTC128833 | DP - CDSL • DP ID - 12066500 • SEBI Regn. No.: IN-DP-CDSL-74-2015

Regd. Office: Y-12, Loha Mandi Naraina, New Delhi-110 028

Phones: 91-11-4144 1150, Fax : 91-11- 2589 3508 | E-mail : dp@gngstock.com

NATURE OF SERVICE	<input type="checkbox"/> Option-1 (Regular)	<input type="checkbox"/> Option-2 (Life Time)	<input type="checkbox"/> Option-3 (Corporate)	<input type="checkbox"/> Option-4 (BSDA)
Account Opening Charges	NIL	NIL	NIL	NIL
Annual Maintenance Charges	Rs. 250/- + GST	Rs. 1000/- + GST	Rs. 750/- + GST	Holding Value < 50,000 Nil Holding Value 50,000 > 2,00,000@ Rs. 100 P.A.
<b>Transaction Charges</b>				
Mkt/Off Mkt Delivery Debit Per Instruction*	Rs. 15/-	Rs. 15/-	Rs. 15/-	Rs. 15/-
Mkt/ Off Mkt Delivery Credit	NIL	NIL	NIL	NIL
<b>Pledge</b>				
Creation -Per Instruction	Rs. 50/-	Rs. 50/-	Rs. 50/-	Rs. 50/-
Closer – Per Instruction	Rs. 50/-	Rs. 50/-	Rs. 50/-	Rs. 50/-
Invocation- Per Instruction	Rs. 50/-	Rs. 50/-	Rs. 50/-	Rs. 50/-
Dematerialisation	Rs. 3/- per certificate plus courier charges**			
Rematerialisation	Rs. 15/- per request plus Rs. 30/- courier charges**			
Instruction Booket	Rs. 1/- per leaf			
POA	Rs. 100/-			

\*For instruction above value of Rs. 3 Lac. Additional charges @ 0.005% of the value over and above Rs. 3 Lac will be charged subject to a maximum of Rs.100/- per instruction.

\*\*Courier charges Rs. 25/- for every 25 certificates and part thereof.

### Notes:

- The Depository participant shall reserve the right to revise the charged by giving not less than 30 days notice in writing to the client.
- Value of Transaction will accordance with the Depository formulae.
- Modification in client detail Rs. 25/- per instance.
- Any service not listed above will be charged extra.
- Rejection charges on failure of delivery instruction Rs. 15/- per instruction.
- Off-Market Instructions not received prior to 24 hours of execution will be received at client's risk. However no extra charges will be levied.
- Instructions for pay-in of securities to transfer securities from client account to CM pool account will be accepted up to 4 PM on the working day prior to pay-in-date.
- Non-periodic statement shall be charged @ Rs. 5/- per page and postage/courier @ 30/- per mail.
- For BSDA (Circular No. CIR/MRD/DP/22/2012 dated August 27, 2012): a) The individual shall have only one BSDA in his/her name across all depositories (CDSL & NSDL). b) Value of securities held in BSDA shall not exceed Rs 2,00,000/- (Rupees Two Lakhs) at any point of time. c) If the value of holding in such BSDA exceeds the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (Non BSDA) from that date onwards. d) All BOs opting for the facility of BSDA, shall register their mobile number for availing the SMS alert facility for debit transactions. e) In case the individual already has BSDA or open new BSDA on a later date, then status of this demat account as BSDA will ceased to exist. f) Two statements will be provided free of cost in billing cycle. Additional Physical statement will be charged Rs. 25/- per statement, whereas electronics statement will be provided free of charge

(The above is subject to taxes and duties as applicable as per Government Rule)

HOLDER'S SIGNATURE			For <b>GnG STOCK HOLDINGS PVT. LTD.</b>
(11) Sole/First Holder Signature	 Second Holder Signature	 Third Holder Signature	(Authorised Signatory)

## RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

### General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

### Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

### Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

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 Sole/First Holder Signature




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 Second Holder Signature




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 Third Holder Signature

17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

#### **Manner of Closure of Demat account**

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

#### **Default in payment of charges**

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at @13% p.a. for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

#### **Liability of the Depository**

22. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
  2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

#### **Freezing/ Defreezing of accounts**

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business

Rules/Operating Instructions.

24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

#### **Redressal of Investor grievance**

25. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

#### **Authorized representative**

26. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

#### **Law and Jurisdiction**

27. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
28. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
29. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
30. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI.
31. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
32. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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Sole/First Holder Signature



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Second Holder Signature



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Third Holder Signature



**Definitions :**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**Availability :**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts :**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the

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Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

- depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
  8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
  9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

**Fees :**

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**Disclaimer :**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

**Liability and Indemnity :**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of REGISTRATION/MODIFICATION (Please cancel out what is not applicable)

access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments :**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.




**Governing Law and Jurisdiction :**

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. 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 purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above 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.

I/ We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

DP ID	1	2	0	6	6	5	0	0	Client ID							
First Holder's Name : _____																
Second Holder's Name : _____																
Third Holder's Name : _____																
Mobile No. on which messages are to be sent										+	9	1				
(Please write only the mobile number without prefixing country code or zero)																
The Mobile Number is registered in the name of : _____																
E-mail Id: _____																
(Please write only ONE valid email Id on which communication; if any, is to be sent)																
 (15)																
Sole/First Holder Signature					Second Holder Signature					Third Holder Signature						
<b>IN CASE OF JOINT HOLDERS, ALL JOINT HOLDERS MUST SIGN.</b>																
<b>* Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).</b>																
Place:.....										Date:.....						

## RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSON AND CLIENTS

### *As prescribed by SEBI and Stock Exchanges*

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The Authorised Person shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

### **CLIENT INFORMATION**

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
  8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
  9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
  10. The stock broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.
- considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

### **TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security / derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

### **BROKERAGE**

18. The Client shall pay to the stock broker brokerage 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 stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the

### **MARGINS**

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are



relevant stock exchanges and/or rules and regulations of SEBI.

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s) / Promoter(s) / Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

#### **DISPUTE RESOLUTION**

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

#### **TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the

Board.

28. The stock broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the Authorised person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

#### **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within

such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
37. The stock broker / stock broker and depository participant shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

#### **ELECTRONIC CONTRACT NOTES (ECN)**

38. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
39. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
40. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
41. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
42. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within

the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

43. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

#### **LAW AND JURISDICTION**

44. In addition to the specific rights set out in this document, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
45. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
46. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
47. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
48. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules / regulations / notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
49. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

## INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

*(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)*

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/ Exchanges.

## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its

Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

### 1. BASIC RISKS:

#### 1.1 Risk of Higher Volatility

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

#### 1.2 Risk of Lower Liquidity

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with



minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

**1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

### **1.3 Risk of Wider Spreads**

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

### **1.4 Risk-reducing orders**

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

**1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

**1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

### **1.5 Risk of News Announcements**

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

### **1.6 Risk of Rumors**

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

### **1.7 System Risk**

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

**1.7.1** During periods of volatility, on account of



market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

- 1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

### **1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

- 2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-**

#### **2.1 Effect of "Leverage" or "Gearing":**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in

derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

- A.** Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B.** If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C.** Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D.** In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E.** You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

#### **2.2 Currency specific risks:**

- 1.** The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be

affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

### **2.3 Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

### **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

### **3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:**

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

### **4. GENERAL**

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

### BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.nsedindia.com](http://www.nsedindia.com), [www.bseindia.com](http://www.bseindia.com), [www.mcx-sx.com](http://www.mcx-sx.com), [www.useindia.com](http://www.useindia.com) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

### TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on **stock exchanges' websites**, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the

retention of funds and securities and the details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
  - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
  15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

### IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

### DISPUTES/COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

**a) Refusal of orders for penny stocks**

The Stock Broker can refuse any order for penny stocks on the basis of its low market capitalization, highly speculative, large bid-ask spreads and limited followings and disclosures. Further stock broker can refuse any order for a script, if it is included in the list of illiquid shares by the exchange. The client can get the list of illiquid shares list from the web sites of the stock exchange. The client will not be allowed to take substantial position in penny stocks and advised to take extra caution while trading with penny stocks

**b) Setting up client's exposure limits**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution or orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

**c) Applicable brokerage rate**

The stock broker can charge a maximum brokerage of 2.5% of the stock value in capital market. In derivatives market, the maximum brokerage on futures is 2.5% on the contract value and on option contracts shall be 2.5% on the premium amount or Rs.100/- (per lot) whichever is higher. The stock broker is entitled to charge brokerage within the above limits imposed by exchange.

**d) Imposition of penalty/delayed payment charges**

The stock broker may impose late pay in/delayed payment charges @ 18% p.a. for non making payment of their pay-in/margin obligation on time as per the exchange requirement/schedule. If the client is unable to provide 50% of margin in Cash, the stock broker may charge an interest @12% p.a. on the cash shortfall amount till such short fall exists. The stock broker can also charge the client for such additional services as per the demand of the client like physical statement, physical contract notes, physical transaction charges, cheque collection charges etc. The

client agrees that the stock broker may impose fines/penalties for any orders/trades/ deals / agreement / rules / regulations / byelaws of the ex-change or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment form any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client.

**e) The right to sell client's securities or close client's positions, on account of non-payment of client's dues**

Without prejudice to the stock brokers other right (including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations.

The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to and born by the client. In cases of securities lying in margin account/ client beneficiary account and having corporate actions like Bonus, Stock split, Right Issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin/security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of he stock broker. Where the margin/security is made available by the way of securities or any other property, the stock broker is empowered to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Market to Market (M-T-M) percentage reached or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

**f) Shortage in Obligation arising out of Internal Netting**

The policy and procedure for settlement of shortages in obligation arising out of internal netting of trades is explained below with example:

For Example Client(A) has Purchased 10sh of X & Client(B) has Sold 10sh of X.


In case Client(B) unable to provide securities against the sale



1. The Stock Broker will request the Client(B) to deliver the 10sh of X, in auction settlement, if he is holding the same.
  2. If the shortage is due to payout shortage, the stock broker will wait for the auction payout of Client(B) and deliver 10sh of X to the Client(A).
  3. If the Client(B) doesn't satisfy any of the point(1) or (2), the stock broker will purchase the shares in his account and give payout to Client(A) and settle the shares in auction settlement.
  4. In case of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.
- g) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of ac client**
- Client may take exposure up to the amount of margin available with the stock broker. Client may not be allowed to take position in case of non-availability/shortage or margin as per the risk management system of the stock broker. The existing position of the client is also liable to square off/close out without giving notice due to shortage or margin/non making of payment for their pay in obligation/outstanding debts.
- h) Temporarily suspending or closing a client's account at the client's request**
- On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.
- On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.
- i) Deregistering a client**
- Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate to terminate the agreement with immediate effect in any of the following circumstances:
- (i) If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
  - (ii) If there is an commencement of a legal process against the client under any law in force.
  - (iii) One the death/lunacy or other disability of the client;
  - (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership.
- (v) If the Client suffers any adverse material change in hi/her/its financial position or defaults in any other agreement with the Stock broker.
  - (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable.
  - (vii) If the Client is in breach of any term, condition or covenant of this Agreement.
  - (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security.
  - (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client.
  - (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution.
  - (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
  - (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;
- j) Treatment of Inactive Client**
- The stock broker can transfer the account of the client to inactive status if:
- (i) No transaction has taken place in client's account during last six months from the date of last transaction.
  - (ii) The Client wish to transfer his account to inactive status
  - (iii) The Client will be transferred to inactive status, if he is not contactable
  - (iv) The Client has not provided any additional documents required by SEBI or NSE as a part of KYC documents.
- The stock broker can reactive the account of the client on if:
- (i) Email or Written request by client to reactive his account with latest KYC documents, clearing of dues, if any.

**Client Acceptance of Policies and Procedures stated hereinabove**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended/ changed unilaterally by the broker, provided the change is informed to me/us with through any one or more means or methods. I/We agree never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and stock broker before any court of law/judicial/adjudicating authority including arbitrator/mediator etc.



Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name : .....

Client Code : .....

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]

**NON MANDATORY  
DOCUMENTS**

**STANDING INSTRUCTIONS/AUTHORISATION LETTER**

To,  
**GnG Stock Holdings Pvt. Ltd.**  
Y-12, Loha Mandi Naraina, New Delhi-110028  
Ph.: 91-11-41441150

**SUBJECT: STANDING INSTRUCTIONS/AUTHORISATION LETTER**

**UCC:** .....

I/We have been /shall be dealing through you as my/our Broker on the Equity / Commodity Exchange(s) such as NSE/BSE/MCX/NCDEX/MSEI. As my/our Broker, I/we direct and authorize you to carry out trading / dealing on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my/our verbal directions/authorizations given and carried out by you earlier.

1. I/We understand that you require written instructions for placement/modifying/canceling orders. However, since it is not practical to give written instructions for order, I/We, in terms of the Rights & Obligations of Stock Brokers, Authorized Persons & Clients, as prescribed by SEBI, hereby authorize you to kindly accept my/our and or my/our authorized person's verbal instructions / orders in person or over phone and execute the same. I/We understand the risk associated with verbal orders and accept the same.
2. I/We specifically agree that no interest, for any reason, shall be payable to me/us on any amount or credit balance lying with MEMBER BROKER.

I/We agree to indemnify you and keep indemnified against all losses, damages and actions which you may suffer or arise as a consequence of your adhering to and carrying out/ my /our directions given above.

I/We have signed/submitted this document at my/our own volition.

Thanking you,  
Yours faithfully

 (17)

Signature

Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name : ..... Client Code : .....

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]

**DECLARATION FOR NAME MISMATCH**

I hereby declare that

1. My name mention in PAN Card is \_\_\_\_\_
2. In additional ID Proof i.e. Voter Id/Passport/Driving License/UID it is \_\_\_\_\_
3. In Bank A/C No. \_\_\_\_\_ it is \_\_\_\_\_
4. In \_\_\_\_\_ is this \_\_\_\_\_

Further I declare that the names mentioned in above details document pertains to me, therefore I request my account and make all payouts in the same name as mentioned in my bank proof.

Thanks,

 (18)

Signature

Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name : ..... Client Code : .....

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]



## CLIENT DEFAULTER DECLARATION

I, \_\_\_\_\_ having PAN no. \_\_\_\_\_ do hereby declare that I have not been involved in any terrorist activity and I have not been declare as defaulter or my name is not appearing in defaulter as per SEBI/Various Exchange/Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc.

I further declare that the above mentioned declaration/Statement is true and correct.

 (19)

Signature

Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name : ..... Client Code : .....

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]

## DEBIT OF DEPOSITORY CHARGES FROM TRADING ACCOUNT

To,

**GnG Stock Holdings Pvt. Ltd.**

**Registered Office :** Y-12, Loha Mandi Naraina, New Delhi-110 028

Phones : 91-11-4144 1150, Fax : 91-11-2589 3508

Dear Sir/Madam,

I \_\_\_\_\_ having trading code \_\_\_\_\_ and demat account no. 12066500 \_\_\_\_\_ authorize **GNG Stock Holding Pvt. Ltd.** to debit the charges relevant to depository services in my trading account I also agree to maintain the adequate balance in my trading account for the said reason.

 (20)

\_\_\_\_\_  
Sole/First Holder Signature



\_\_\_\_\_  
Second Holder Signature



\_\_\_\_\_  
Third Holder Signature

## PRO TRADING DECLARATION

Dear Sir/Madam,

As per exchange notification, we want to disclose you that we do both client based trading and trading on our own behalf.

**RUNNING ACCOUNT AUTHORISATION**

To,  
**GnG Stock Holdings Pvt. Ltd.**  
Y-12, Loha Mandi Naraina, New Delhi-110028  
Ph.: 91-11-41441150

Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**SUBJECT: RUNNING ACCOUNT AUTHORISATION**

**UCC:**.....

I/am/We are aware that you and I/we have the option to 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. Further, I/we also desire to use my/our funds as margin without which I/We cannot deal/trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these funds from running accounts and make pay-in of funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive funds in settlement of trades/ dealings please keep the funds with you and make credit entries for the same in running accounts of funds maintained by you for the purpose of any obligations due to me/us. In view of the same it would be proper for you to release the funds due to me/us on my/our specific, either written or verbal instructions. Further, the funds can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion please treat my/our funds lying to my/our credit in running accounts as margin for my/our dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you. Further I/We understand and agree that any credit amount with you will not attract any interest.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite 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. You may also retain such other funds as may be specified by the exchanges from time to time. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds displaying all receipts/payments of funds. Please explain in the statement(s) being sent the retention of funds and the details of the pledged securities, if any. I/We agree that I/we shall bring any discrepancy(ies)/dispute in the/arising from the statement of retention of funds or statement of funds or settlement so made to your notice, preferably, within 30 working days from the date of receipt of funds or statement of retention of funds, as the case may be, in writing, through Registered A.D./Speed Post at your corporate office or through email at [customercare@gngstock.com](mailto:customercare@gngstock.com) .in from my/our registered email id.

Notwithstanding anything contained anywhere in the above authorization signed by me/us, this Running Account Authorisation shall not be applicable in case of any purchases of securities in cash segment or in F&O segment (under physical settlement) and pledged to Client Unpaid Securities Pledgee Account (CUSPA). The securities pledged in the (CUSPA) shall be settled as per the rules, regulations & guidelines of the exchanges/SEBI. I/We further agree that the funds shall be returned to me/us if I/we have not done any transaction in the 30 calendar days since the last transaction, within three working days irrespective of the date when the running account was previously settled or within the period as may be specified by SEBI/Exchanges from time to time.

Please further note that while I/We am/are entitled to revoke this authorisation at any time, by sending signed physical letter of revocation, through post / courier at your above mentioned address.

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

- Once in a Calender Quarter
- Once in a Calender Month

Thanking you,

Yours faithfully

 (22)

Signature

Name : ..... Client Code : .....

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]

## DEMAT DEBIT AND PLEDGE INSTRUCTION

To,  
**GnG Stock Holdings Pvt. Ltd.**  
 Y-12, Loha Mandi Naraina, New Delhi-110028  
 Ph.: 91-11-41441150

Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

UCC: .....

**Sub: Demat Debit Pledge Instruction (DDPI) authorisation**

Dear Sir/Madam,

I/We have been/ shall be dealing through you as my/our Broker on various Stock Exchange(s) such as NSE/BSE and as my/our Depository Participant (DP) with respect to my/our Trading Account opened / to be opened under captioned Unique Client Code (UCC) and Demat/ beneficial owner (BO) Account opened/to be opened & mapped with my/our said Trading Account, I/We authorize you to follow these instructions across exchanges & across segments in which I/We have already opened accounts with your or I/We may open account in future. As my /our Broker i.e. agent &/or DP, I/we direct and authorize you to carry out dealings on my/our behalf as per instructions given below.

For my/our convenience & in order to facilitate the proper execution of all transactions by me/us in pursuant to agreement(s) entered/to be entered with GnG Stock Holdings Pvt Ltd (GNG), I/We hereby agree & authorize GNG to operate my/our Demat/(BO) account(s) opened/to be opened and mapped with my/our aforesaid Trading Account to transfer/Pledge/re-pledge/de-pledged securities from my/our BO account(s) only to GNG Bo account(s) and/or Exchange(s) related Pool & Margin Account of GNG specified herein below.


CDSL Pool A/c	NSE	120665000000789
CDSL Early Payin A/c	NSE	1100001100019017
CDSL CM Pool A/c	BSE	1206650000001516
CDSL Early Payin A/c	BSE	1100001000023141
TM/CM-Client Securities Margin Pledge Account	Both NSE & BSE	1206650000013952

Please further note that while I/We am/are entitled to revoke this DDPI authorization at any time, by sending signed Physical letter of revocation, through Regd/Speed post at your above mentioned address. I/We agree that till the time my/our revocation request will be processed and updated in your records, GNG will continue to be authorized to transfer pledge/re-pledge/de-pledge securities under this DDPI authorization against my/our obligations, if any, in my/our captioned trading/demat account.

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 whatsoever, or for any consequential, incidental, special or exemplary damages, caused by transfer pledge/re-pledge/de-pledge of securities under this DDPI authorization.

Sr. No.	Purpose	Holder Type	Holder Name	Signature
01	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	1 <sup>st</sup> Holder		
		2 <sup>nd</sup> Holder		
		3 <sup>rd</sup> Holder		
02	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	1 <sup>st</sup> Holder		
		2 <sup>nd</sup> Holder		
		3 <sup>rd</sup> Holder		
03	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	1 <sup>st</sup> Holder		
		2 <sup>nd</sup> Holder		
		3 <sup>rd</sup> Holder		
04	Tendering shares in open offers through Stock Exchange platforms 1st.	1 <sup>st</sup> Holder		
		2 <sup>nd</sup> Holder		
		3 <sup>rd</sup> Holder		

(\*Note: To be signed by all the account Holders in whose name the Demat Account(s) is /are opened/to be opened & mapped with the trading account having abovementioned Unique Client Code)

<b>BROKER / AGENT CODE ARN : 108533</b>				<b>SUB-BROKER:</b>		<b>EUIN: E148342</b>	
<b>UNIT HOLDER INFORMATION:</b>							
<b>NAME OF THE FIRST APPLICANT :</b>							
PAN Number :		KYC :		Date of Birth :			
Father Name :				Mother Name :			
Name of Guardian :				PAN :			
Contact Address :							
City :		Pincode :		State :		Country :	
Tel. (Off) :		Tel. (Res) :		Email :			
Fax (Off) :		Fax (Res) :		Mobile :			
Income Tax Slab / Networth :				Occupational Details :			
Place of Birth :				Country of Tax Residence :			
Tax Id No :							
Politically exposed person / Related to Politically exposed person etc.? :				Yes : <input type="checkbox"/>		No: <input type="checkbox"/>	
Mode of Handling :				Occupation :			
<b>NAME OF THE SECOND APPLICANT:</b>							
PAN Number :		KYC :		Date of Birth :			
Income Tax Slab / Networth :							
Tax Id No :				Occupational Details :			
Politically exposed person / Related to Politically exposed person etc.? :				Yes : <input type="checkbox"/>		No: <input type="checkbox"/>	
<b>NAME OF THE THIRD APPLICANT:</b>							
PAN Number :		KYC :		Date of Birth :			
Income Tax Slab / Networth :							
Tax Id No :				Occupational Details :			
Politically exposed person / Related to Politically exposed person etc.? :				Yes : <input type="checkbox"/>		No: <input type="checkbox"/>	
Other Details of Sole/ 1st Applicant :							
Overseas Address (In case of NRI Investor) :							
City :		Pincode :		Country :			
<b>BANK MANDATE DETAILS:</b>							
Name of Bank :				Branch :			
A/C No :		A/C Type :		IFSC Code :			
Bank Address :							
City :		Pincode :		State :		Country :	
<b>NOMINATION DETAILS :</b>							
Nominee Name :				Relationship :			
Guardian Name (if Nominee is Minor) :							
Nominee Address :							
City :		Pincode :		State :		Country :	
Declaration and Signature I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.							
Date :				Place :			
1st Applicant Signature :		2nd Applicant Signature :		3rd Applicant Signature :			



8inch X 4inch

**NACH/ECS/AUTO DEBIT  
MANDATE INSTRUCTION**

UMRN

Date

FORM

Tick (✓)

Sponsor Bank Code

Utility Code

CREATE

I/We hereby authorize

to debit Tick (✓)

MODIFY

DELETE

Bank a/c number

with Bank

IFSC

or MICR

an amount of Rupees

₹

FREQUENCY

Mthly

Qtly

H-Yrly

Yrly

As & when presented

DEBIT TYPE

Fixed Amount

Maximum Amount

Reference 1 (Mandate Reference No.)

Phone No.

Reference 2 (Unique Client Code-UCC)

Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

**PERIOD**

From

To

Or

Until Cancelled

1.  2.  3.

-This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as areed and signed by me..

- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.





**OPTION FORM FOR ISSUE OF DIS BOOKLET**

Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

DP ID	1	2	0	6	6	5	0	0	Client ID							
First Holder Name																
Second Holder Name																
Third Holder Name																

**To,**  
**GnG Stock Holdings Pvt. Ltd.**  
 Y-12, Loha Mandi Naraina, New Delhi-110028  
 Ph.: 91-11-41441150

Dear Sir/ Madam,

I/ We here by 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 of my / our CDSL account thought I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder-Clearing Member / by PMS manager / for executing delivery instructions through eDIS.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

**OR**

**OPTION 2:**

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

Yours Faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

**Acknowledgement Receipt**

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

DP ID	1	2	0	6	6	5	0	0	Client ID							
Name of the Sole / First Holder																
Name of Second Joint Holder																
Name of Third Joint Holder																

**Depository Participant Seal and Signature**



**COMPLETENESS OF FORM**

KRA	<input type="checkbox"/> NEW	<input type="checkbox"/> MODIFY	DETAILS .....
CKYC	<input type="checkbox"/> NEW	<input type="checkbox"/> MODIFY	DETAILS .....

**FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES/TRUSTS**

**CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ AND HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_ HELD ON \_\_\_\_\_.**

RESOLVED THAT the company be registered as client with GnG Stock Holdings Pvt. Ltd. (Member of National Stock Exchange of India Ltd. (NSE) / Bombay Stock Exchange Ltd. (BSE) and a Depository Participant of Central Depository Services (India) Ltd. (CDSL) for the purpose of investment in securities market and to trade in derivatives market. The said Member be and is hereby authorized to honour oral or written instruction given on behalf of the Company by of the under noted authorized signatories, who are authorized to sell, purchase, transfer, endorse, negotiate and / or otherwise deal with / through deal through GnG Stock Holdings Pvt. Ltd. on behalf of the company.

RESOLVED FURTHER that Mr \_\_\_\_\_ and \_\_\_\_\_ Directors of the company be and are hereby severally authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents as may deemed necessary for opening of demat and trading account and registration of KYC with the KRA.

For Director

**Specimen Signatures of Authorised Person**

S. No.	Name	Designation	SpecimenSignature
1			
2			

(Please Tear Here)

**ACKNOWLEDGEMENT FROM CLIENT (TRADING)**

**GnG Stock Holdings Pvt. Ltd.**  
SEBI Regn. No. INZ000266439

I / We .....hereby confirm that I / We have received the copy of KYC Forms, Risk Disclosure Documents, Rights and Obligation, guidance note & policies & procedures. I / We also confirm that I / We got my unique client code.

Thanking You,

Date : .....

Place : .....



Client's signature

(If partner, Corporate or other signatory, then attest with firm / company seal)

47

(Please Tear Here)

**ACKNOWLEDGEMENT (DP)**

**GnG Stock Holdings Pvt. Ltd.**

DP - CDSL • DP ID - 12065500 • SEBI Regn. No.: IN-DP-CDSL-74-2015

Application No.:

Date...../...../20.....

We hereby acknowledge the receipt of the Account Opening Application Form :

Name of the Sole/First Holder	
Name of Second Holder	
Name of Third Holder	

**Depository Participant Seal and Signature**

# Acknowledgement



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

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





## **GnG STOCK HOLDINGS PVT. LTD.**

Member : National Stock Exchange of India Limited

Member : BSE Limited • Member : Association of Mutual Funds in India

**SEBI Regn. No. INZ000266439**

**DP - CDSL • DP ID - 12066500 • SEBI Regn. No.: IN-DP-CDSL-74-2015**

**AMFI Regn. No. : ARN-108533**

Please send this Account Opening Form to:

Y-12, Loha Mandi, Naraina, New Delhi-110028

Tel: 011-41441150, Fax: 011-25893508

E-mail: [gngstock@hotmail.com](mailto:gngstock@hotmail.com), Website : [www.gngstock.com](http://www.gngstock.com)