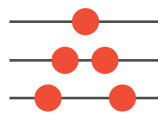


# Trading and Demat Account Opening Form - Non Individual

**Form No.** \_\_\_\_\_ **Client Code** \_\_\_\_\_

**Client Name** \_\_\_\_\_

**RM / SM Name** \_\_\_\_\_



Acumen at work

**BugleRock Capital Private Limited**

Prestige Takt, 1st Floor 23, Kasturba Road Cross, Bangalore 560001 - India  
T +91 080 690 29000

## IMPORTANT DECLARATIONS BY BUGLEROCK CAPITAL PRIVATE LIMITED

- On May 27, 2025, SEBI approved the Stock Broker Trade name changed from o3 Securities Private Limited to Buglerock Capital Private Limited.
- On July 04, 2025, SEBI approved the Depository Participant name changed from o3 Securities Private Limited to Buglerock Capital Private Limited.
- Buglerock Capital Private Limited draws the attention of prospective constituent(s) towards the SEBI circular no. SEBI/ MIRSD/16/2011 dated August 22, 2011 and other related circulars in this regard.
- Proprietary-Trading disclosure:
  - This has reference to circular no. SEBI / MRD / SE / CIR.- 42 / 2003 dated November 19. 2003, As mandated by SEBI and/ or the Exchanges(S), the stock broker hereby makes disclosure to the client that the stock broker may, from time to-time, make investments in securities with a view to deploy its own surplus funds on its own proprietary account without any specific intimation to the client in this regard. However, BugleRock Capital discloses herewith that it currently does not undertake proprietary trading.
- Buglerock Capital Private Limited, further confirms that additional clauses, if any, in the documents herein are not in conflict with any of the clauses in the model document or the rules, regulations, articles, byelaws, circulars, directives and guidelines in this regard as issued by SEBI or National Stock Exchange of India Limited or Bombay Stock Exchange Limited.
- Mandatory and Voluntary Documents/ Clauses have been separately indicated
- As per SEBI Circular CIR/MIRSD/64/2016 dated July 12, 2016, the standard set of documents such as Rights & Obligations of stock-broker and client, uniform Risk Disclosure Document and Guidance Note detailing do's and don'ts for trading on stock exchanges are required to be provided to the client as detailed in the index in the following page. Further, these standard documents may be provided to the client in electronic form (e-mail) or physical form as per the preference of the client. If you wish to receive physical copies of the same, kindly contact our Operations Department and we shall provide you the physical copies of the standard documents.

<b>Name of the Depository Participant</b>	BugleRock Capital Private Limited
<b>Corporate Identification Number (CIN)</b>	U67120KA2008PTC047749
<b>SEBI Broking Registration No.</b>	IN-DP-764-2024
<b>Validity of Registration</b>	Jun 25, 2009 - Perpetual
<b>SEBI DP Registration No.</b>	IN-DP-764-2024
<b>Validity of Registration</b>	Jan 02, 2025 - Perpetual
<b>Professional Clearing Member (PCM)</b>	ICICI Bank
<b>Registered Office Address</b>	Prestige Takt, 1st Floor, No 23, Kasturba Road Cross, Mahatma Gandhi Road, Bangalore, BANGALORE, KARNATAKA, 560001
<b>Correspondence Office Address</b>	One World Center, Tower 2, Office No 802, 8th Floor, Senapati Bapat Marg, Elphinstone Road West, MUMBAI, MAHARASHTRA, 400013
<b>Compliance Officer (Broking)</b>	Devender Kumar Pathak Mobile No.: + 91 90087 16644 Email id: <a href="mailto:devender.p@buglerock.asia">devender.p@buglerock.asia</a>
<b>Compliance Officer (DP)</b>	Bharat M Sharda Mobile No.: + 91 98201 87555 Email id: <a href="mailto:bharat.s@buglerock.asia">bharat.s@buglerock.asia</a>
<b>CEO Name, Phone No. &amp; Email ID</b>	Sudeep Srikantaswamy (Designated Director) Mobile No.: + 91 98455 39171 Email id: <a href="mailto:sudeep.s@buglerock.asia">sudeep.s@buglerock.asia</a>

## Disclaimer

Investment in the securities market are subject to market risks. Read all the related documents carefully before investing. Registration granted by SEBI and certification from NISM is no way to guarantee performance of the intermediary or provide any assurance of returns to investors.

## Investor Complaint Redressal


For any grievance or dispute, please contact our team through any of the following channels:

### Address:

Prestige Takt, 1st Floor, No 23, Kasturba Road Cross,  
Mahatma Gandhi Road, Bangalore,  
BANGALORE, KARNATAKA, 560001

### Email:

- For Broking and DP-related disputes: [helpdesk@buglerock.asia](mailto:helpdesk@buglerock.asia)

 **Phone:** +91 80 69029000


In case not satisfied with the response please contact the concerned Stock Exchange(S) / Depository at the details provided below:

Sr. No	Exchange / DP	Email Id	Contact No
1	National Stock Exchange of India Limited	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	1800 266 0058
2	BSE Limited	<a href="mailto:isc.mumbai@bseindia.com">isc.mumbai@bseindia.com</a>	022 2272 8517
3	Central Depository Services (India) Limited	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>	1800-22-5533

### Investor Grievance Redressal Mechanism

If you have any grievances, you may lodge your complaint with SEBI through the **SCORES platform** at <https://scores.sebi.gov.in/>.

For queries, feedback, or assistance, please contact SEBI's Toll-Free Helpline:

 **1800 22 7575 / 1800 266 7575**

Alternatively, you can visit the nearest SEBI office. The details of the regional office are as follows:

#### Office of Investor Assistance & Education

Securities and Exchange Board of India (SEBI)

Plot No. C 4-A, G Block, Near Bank of India,

Bandra Kurla Complex, Bandra (East),

Mumbai, Maharashtra - 400051

If your grievance remains unresolved, you can escalate it through the **Online Dispute Resolution (ODR)** platform, **SMART ODR**, accessible at: <https://smartodr.in/login>.

**CASH RECEIPTS & PAYMENTS STRICTLY NOT ALLOWED**

Clients are requested to make payments to "BugleRock Capital Private Limited" by Cheques/Account transfers. In case of Demand Drafts / Pay-Orders, client to substantiate that the same is drawn favouring "BugleRock Capital Private Limited" with his/her/their permission and knowledge. The Demand Drafts/Pay orders must be accompanied by DD Slip or Bank Letter or Bank Statement etc. clearly showing that DD is issued from Client's Bank account only.

## INDEX OF DOCUMENTS

**Corporate Account**

**Documents required** **✓ Against the document submitted**

**For Company (All the documents should be attested by company with rubber stamp)**

**Address Proof (any 1 of the following)**

- Registration Certificate / Certificate of in Corporation
- Telephone/electricity bill in the name of company (not more than 2 months old)
- Registered lease/sale agreement(only if client has a correspondence address)

**Bank Proof (any 1 of the following)**

- Bank account statement/passbook in the name of company (not more than 2 months old)
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed)
- Bank verification letter

**Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives segment)**

- ITR copy for latest financial year
- Bank a/c statement (not more than 6 months old)
- Demat a/c holding statement (not more than 3 months old)
- Net worth certificate for the latest financial year

**Mandatory company documents (all have to be submitted)**

- Company incorporation certificate
- Board resolution signed by 2 directors or 1 MD/company secretary and should include: 
  1. Date & place of passing
  2. Mode of operation - jointly or severally
  3. Name of the person authorised to operate the a/c.
- Memorandum & Article of Association signed by authorised person, investment clause must be mentioned
- Share holding pattern including list of all those holding control, either directly or indirectly, in the company,   
names of person holding senior management position should be attested by MD/company secretary/director(s).
- Beneficial Owner Certificate - If any of the share holders is a non individual holding more than 10% of shares   
then its 'Share Holding Pattern' has to be provided along with Beneficial Owner Certificate duly certified by Chartered Accountant needs to be provided once he/she is identified.
- If an individual has more than 10% shares in shareholding pattern of the company, then his/her PAN details   
are required.
- List of all directors attested by authorised signatories
- Balance sheet of last 2 financial years
- Director Identification Number of directors
- Name change certificate, if name of the company has been changed
- Form 32, if names of directors are not mentioned in MOA/AOA
- Form 18, if company has changed address which is not mentioned in MOA/AOA. Proof of   
new address is also required

**Another DP mapping(if submitted)**

- Client Master Report/ List in the name of company (not more than 3 months old)
- DP holding statement/ transaction statement in the name of company (not more than 3 months old)

**Corporate Account (Contd...)**

**For individual directors/authorised signatories (All the documents should be attested by them without rubber stamp)**

**Photograph of directors/authorised signatories (Compulsory)  
 Address Proof(any 1 of the following)**

<input type="checkbox"/> Passport	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Driving license	<input type="checkbox"/> National Population Register Letter
<input type="checkbox"/> Voter ID	<input type="checkbox"/> E-KYC Authentication	<input type="checkbox"/> Offline verification of Aadhaar	<input type="checkbox"/> Aadhar
<input type="checkbox"/> Registered lease/sale agreement (only if client has a correspondence address)			

**\*IPV/Documents verified with originals' stamp is required on all the documents.**

**Important Notes**

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

**Partnership firm/ Unregistered trust Account**

**Documents required**

**✓ Against the document submitted**

**For Partnership firm/unregistered trust (All the documents should be attested by partnership firm/unregistered trust with rubber stamp)**

**Address Proof (any 1 of the following)**

- Registration Certificate
- Telephone/electricity bill in the name of partnership firm/unregistered trust (not more than 2 months old)
- Registered lease/sale agreement (only if client has a correspondence address)

**Bank Proof (any 1 of the following)**

- Bank account statement/passbook in the name of partnership firm/unregistered trust (not more than 2 months old)
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed)
- Bank verification letter

**Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives segment)**

- ITR copy for latest financial year
- Bank a/c statement (not more than 6 months old)
- Demat a/c holding statement (not more than 3 months old)
- Net worth certificate for latest financial year

**Mandatory documents (all have to be submitted)**

- Partnership/Trust deed attested by all the authorised partners/trustees, investment clause must be mentioned
- Partnership registration certificate
- List of all Partners / Trustees / Beneficiaries / Settlers / Authors of Trust attested by all authorised signatories. Additionally in case of Trust, list of all trustees to be given in specified format.
- Balance sheet of last 2 financial years
- Partnership/Trust resolution attested by all partners/trustees which should consist of name of the partner/trustee authorised to operate the a/c
- KRA documents of all authorised partners / trustees & Authorised signatories
- Beneficial Owner Certificate - In case any of the partners whose share (either of profits or capital) is more than 10% is a body corporate or another artificial person, then the list of ultimate partners / shareholders of the body corporate etc along with their PAN is required. In case of Unregistered Trust, if any of the beneficiaries / Trustees / Author / Settlor whose share (either of profits or corpus of the trust) is more than 10% is a body corporate or another artificial person, then the list of ultimate shareholders of the body corporate or the sponsors of the trust etc. along with their PAN details.

**NOTE: Demat account can be of minimum 1 or maximum 3 holders**

**Another DP mapping (if submitted)**

- Client Master Report/ List in the name of partnership firm/trust(not more than 3 months old)
- DP holding statement/ transaction statement in the name of partnership firm/trust(not more than 3 months old)

**Partnership firm/ Unregistered trust Account (Contd...)**

**For individual partners/trustees (All the documents should be attested by them without rubber stamp)**

**Photograph of partners/trustees (Compulsory)  
 Address proof (any 1 of the following):**

<input type="checkbox"/> Passport	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Driving license	<input type="checkbox"/> National Population Register Letter
<input type="checkbox"/> Voter ID	<input type="checkbox"/> E-KYC Authentication	<input type="checkbox"/> Offline verification of Aadhaar	<input type="checkbox"/> Aadhar
<input type="checkbox"/> Registered lease/ sale agreement (only if client has a correspondence address)			

**\*IPV/Documents verified with originals' stamp is required on all the documents.**

**Important Notes**

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

## Registered Trust Account

**Documents required** **✓ Against the document submitted**

**For Registered Trust (All the documents should be attested by registered trust with rubber stamp)**

**NOTE: Trust has to be registered under Societies Registration Act/ Indian Trust Act 1882/Public Trust Act, 1860/ Bombay Public Trust Act 1950/ Public Trust Act of Relevant State or Section 12AA of Income Tax act,1961.**

### **Address Proof (any 1 of the following):**

- Registration Certificate
- Telephone/ electricity bill in the name of trust (not more than 2 months old)
- Registered lease/ sale agreement (only if client has a correspondence address)

### **Bank Proof (any 1 of the following):**

- Bank account statement/ passbook in the name of trust (not more than 2 months old)
- Cheque leaf (client name, a/c no. , MICR & IFSC should be printed)
- Bank verification letter

### **Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives segment)**

- ITR copy for latest financial year
- Bank a/c statement (not more than 6 months old)
- Demat a/c holding statement (not more than 3 months old)
- Net worth certificate for latest financial year

### **Mandatory Documents (all have to be submitted)**

- Trust deed attested by all the authorised trustees, investment clause must be mentioned
- Trust registration certificate
- List of all trustees / Beneficiaries / Settlers / Authors of Trust attested by authorised signatories. Further list of all trustees to be given in specified format.
- Balance sheet of last 2 years
- Trust resolution attested by all the trustees. Should mention the: 
  1. Date & place of passing
  2. Mode of operation - jointly or severally
  3. Name of the person authorised to operate the a/c.
- KRA documents of trustees & Authorised signatories
- Beneficial Owner Certificate - In case of Trust, if any of the beneficiaries / Trustees / Author / Settlor whose share (either of profits or corpus of the trust) is more than 10% is a body corporate or another artificial person, then the list of ultimate shareholders of the body corporate or the sponsors of the trust etc. along with their PAN details.

### **Another DP mapping( if submitted)**

- Client Master Report/ List in the name of trust (not more than 3 months old)
- DP holding statement/ transaction statement in the name of trust (not more than 3 months old)

**Registered Trust Account (Contd...)**

**For individual trustees (All the documents should be attested by them without rubber stamp)**

**Photograph of trustees (Compulsory)  
 Address Proof (any 1 of the following):**

<input type="checkbox"/> Passport	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Driving license	<input type="checkbox"/> National Population Register Letter
<input type="checkbox"/> Voter ID	<input type="checkbox"/> E-KYC Authentication	<input type="checkbox"/> Offline verification of Aadhaar	<input type="checkbox"/> Aadhar
<input type="checkbox"/> Registered lease/sale agreement (only if client has a correspondence address)			

**\*IPV/Documents verified with originals' stamp is required on all the documents.**

**Important Notes**

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

**HUF Account**

**Documents required** **✓ Against the document submitted**

**For HUF (All the documents should be attested by HUF with rubber stamp)**

**Address Proof (any 1 of the following):**

- Telephone/electricity bill in the name of HUF (not more than 2 months old)
- Registered lease/sale agreement (only if client has a correspondence address)
- Bank account statement/passbook in the name of HUF (not more than 2 months old)

**Bank Proof (any 1 of the following):**

- Bank account statement/passbook in the name of HUF (not more than 2 months old)
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed)
- Bank verification letter

**Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives segment)**

- ITR copy for latest financial year
- Bank a/c statement (not more than 6 months old)
- Demat a/c holding statement (not more than 3 months old)
- Net worth certificate for latest financial year

**Mandatory Documents (all have to be submitted)**

- Details/proof required for co-parceners:
  1. Name & sign on DDPI ( minor co-parceners need not sign, however their name has to be mentioned)
  2. PAN details and address proof
- List of co-parceners
- If father is the karta of the family then only wife, son and daughter will be considered as co-parceners
- In case of karta's death notarised death certificate and NOC of all co-parceners is required

**NOTE: HUF's rubber stamp should be as per PAN card.**

**Another DP mapping( if submitted)**

- Client Master Report/ List in the name of trust (not more than 3 months old)
- DP holding statement/ transaction statement in the name of trust (not more than 3 months old)

**For Karta/individual co-parceners (All the documents should be attested by them without rubber stamp)**

**Photograph of Karta (Compulsory)**  
**Address Proof (any 1 of the following):**

<input type="checkbox"/> Passport	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Driving license	<input type="checkbox"/> National Population Register Letter
<input type="checkbox"/> Voter ID	<input type="checkbox"/> E-KYC Authentication	<input type="checkbox"/> Offline verification of Aadhaar	<input type="checkbox"/> Aadhar
<input type="checkbox"/> Registered lease/sale agreement (only if client has a correspondence address)			

**\*IPV/Documents verified with originals' stamp is required on all the documents.**

**Important Notes**

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

**LLP Account**

**Documents required** **✓ Against the document submitted**

**For partnership firm (All the documents should be attested by LLP with rubber stamp)**

**Address Proof (any 1 of the following):**

- Registration Certificate / Certificate of in Corporation
- Telephone/electricity bill in the name of partnership firm (not more than 2 months old)
- Registered lease/sale agreement (only if client has a correspondence address)

**Bank Proof (any 1 of the following):**

- Bank account statement/passbook in the name of trust (not more than 2 months old)
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed)
- Bank verification letter

**Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives segment)**

- ITR copy for latest financial year
- Bank a/c statement (not more than 6 months old)
- Demat a/c holding statement (not more than 3 months old)
- Net worth certificate for latest financial year

**Mandatory documents (all have to be submitted)**

- LLP deed attested by all the authorised partners, investment clause must be mentioned
- LLP registration certificate
- List of all LLP Partners & names of person holding senior management position should be attested by authorised signatory
- Balance sheet of last 2 financial years
- Board resolution attested by all the partners. It should have: 
  1. Date & place of passing
  2. Mode of operation - jointly or severally
  3. Name of the person authorised by board to operate the a/c
- Beneficial Owner Certificate- If any of the share holders is a company holding more than 10% of shares then its 'Share Holding Pattern has to be provided alongwith Beneficiary Owner Certificate of Individual shareholder once he/she is identified. If an individual has more than 10% share, then his/her PAN details are required.

**Another DP mapping (if submitted)**

- Client Master Report/ List in the name of trust (not more than 3 months old)
- DP holding statement/ transaction statement in the name of trust (not more than 3 months old)

**For individual partners (All the documents should be attested by them without rubber stamp)**

**Photograph of partners (Compulsory)**

**Address Proof (any 1 of the following):**

<input type="checkbox"/> Passport	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Driving license	<input type="checkbox"/> National Population Register Letter
<input type="checkbox"/> Voter ID	<input type="checkbox"/> E-KYC Authentication	<input type="checkbox"/> Offline verification of Aadhaar	<input type="checkbox"/> Aadhar
<input type="checkbox"/> Registered lease/sale agreement (only if client has a correspondence address)			

**\*IPV/Documents verified with originals' stamp is required on all the documents.**

**Important Notes**

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

**Association of Persons Account**

**Documents required** **✓ Against the document submitted**

**For AOP (All the documents should be attested by AOP with rubber stamp)**

**Address Proof (any 1 of the following):**

- Telephone/electricity bill in the name of partnership firm (not more than 2 months old)
- Registered lease/sale agreement (only if client has a correspondence address)

**Bank Proof (any 1 of the following):**

- Bank account statement/passbook in the name of trust (not more than 2 months old)
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed)
- Bank verification letter

**Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives segment)**

- ITR copy for latest financial year
- Bank a/c statement (not more than 6 months old)
- Demat a/c holding statement (not more than 3 months old)
- Net worth certificate for latest financial year

**Mandatory documents (all have to be submitted)**

- Agreement of AOP attested by all the authorised signatories, investment clause must be mentioned
- List of members of AOP attested by authorised signatories
- Balance sheet of last 2 financial years
- AOP resolution attested by all the members
- KRA page of all authorised AOP members

**NOTE: Demat account can be of minimum 1 or maximum 3 holders**

**Another DP mapping (if submitted)**

- Client Master Report/ List in the name of trust (not more than 3 months old)
- DP holding statement/ transaction statement in the name of trust (not more than 3 months old)

**For individual AOP Members (All the documents should be attested by them without rubber stamp)**

**Photograph of AOP Members (Compulsory)**

**Address Proof (any 1 of the following):**

<input type="checkbox"/> Passport	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Driving license	<input type="checkbox"/> National Population Register Letter
<input type="checkbox"/> Voter ID	<input type="checkbox"/> E-KYC Authentication	<input type="checkbox"/> Offline verification of Aadhaar	<input type="checkbox"/> Aadhar
<input type="checkbox"/> Registered lease/sale agreement (only if client has a correspondence address)			

**\*IPV/Documents verified with originals' stamp is required on all the documents.**

**Important Notes**

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

**Society Account**

**Documents required** **✓ Against the document submitted**

**For Society (All the documents should be attested by Society with rubber stamp)**

**Address Proof (any 1 of the following):**

- Registration Certificate
- Telephone/electricity bill in the name of partnership firm (not more than 2 months old)
- Registered lease/sale agreement (only if client has a correspondence address)

**Bank Proof (any 1 of the following):**

- Bank account statement/passbook in the name of trust (not more than 2 months old)
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed)
- Bank verification letter

**Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives segment)**

- ITR copy for latest financial year
- Bank a/c statement (not more than 6 months old)
- Demat a/c holding statement (not more than 3 months old)
- Net worth certificate for latest financial year

**Mandatory documents (all have to be submitted)**

- Bye laws of society attested by all the authorised signatories, investment clause must be mentioned
- Society registration certificate
- List of committee members attested by authorised signatory
- Balance sheet of last 2 financial years
- Society resolution attested by all the committee members. It should have:   
 1.Date & place of passing  
 2.Name of person authorised to operate the a/c
- Require KRA of all the committee members

**NOTE: Demat account can be of minimum 1 or maximum 3 holders**

**Another DP mapping (if submitted)**

- Client Master Report/ List in the name of trust (not more than 3 months old)
- DP holding statement/ transaction statement in the name of trust (not more than 3 months old)

**For Committee Members (All the documents should be attested by them without rubber stamp)**

**Photograph of Committee Members (Compulsory)**

**Address Proof (any 1 of the following):**

<input type="checkbox"/> Passport	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Driving license	<input type="checkbox"/> National Population Register Letter
<input type="checkbox"/> Voter ID	<input type="checkbox"/> E-KYC Authentication	<input type="checkbox"/> Offline verification of Aadhaar	<input type="checkbox"/> Aadhar
<input type="checkbox"/> Registered lease/sale agreement (only if client has a correspondence address)			

**\*IPV/Documents verified with originals' stamp is required on all the documents.**

**Important Notes**

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

**INSTRUCTIONS/ CHECK LIST**

1. Additional documents in case of trading in F&O derivatives segments - illustrative list: (Any one)

In case of salary income - Salary Slip, Copy of Form 16.
Copy of ITR Acknowledgement
Copy of Annual Accounts
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/member need to be provided by the client from time to time.*

2. 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.
3. Mobile number of trading account holder is mandatory for F&O trading.
4. For individuals:
  - a. Stock broker/member has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/member/authorised person's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do inperson' 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.
5. For receiving Statement of Account in electronic form:
  - a. Client must ensure the confidentiality of the password of the email account.
  - b. Client must promptly inform the Participant if the email address has changed.
  - c. Client may opt to terminate this facility by giving 15 days prior notice. Similarly, Participant may also terminate this facility by giving 15 days prior notice.
6. Politically Exposed Persons [PEP] are defined as individuals who are or have been entrusted with prominent public functions, 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.

**INSTRUCTIONS TO THE APPLICANTS (BOS) FOR ACCOUNT OPENING:**

- i. Signatures can be in English or Hindi or any of the other languages contained in the 8<sup>th</sup> Schedule of the Constitution of India. Thumb impressions and signatures other than the above-mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
- ii. Signatures should be preferably in black ink.
- iii. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
- iv. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- v. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
- vi. All correspondence / queries shall be addressed to the first / sole applicant.
- vii. Strike off whichever option, in the account opening form, is not applicable.

\*\*\*\*\*

**For Office Purpose Only**

1. Client Risk Categorization Under PMLA:  LOW RISK  MEDIUM RISK  HIGH RISK

**For Office Use Only**

1. Complete Documentation Received:  Yes  No **If No, give details: -** \_\_\_\_\_

2. "Verified with Original" Stamp Affixed on Proofs  Yes  No

<b>PMS Code allotted to the Client:</b>			
	<b>Documents Verified with Originals</b>	<b>Client Interviewed By</b>	<b>In-Person Verification done by</b>
Name of the Employee			
Employee Code			
Designation of the Employee			
Branch Code			
Branch Name			
Branch State			
Date			
Signature			

3. "Pan Verified" stamp with Employee Name & Signature Affixed on Proof  Yes  No

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 the 'Rights and Obligations' document (s), RDD, 'Do's and Dont's' 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.

**KRA Registration Details (For Office Purpose Only)**

If Client is already registered with KRA/CKYC please fill in below details:

NDML  CKYC  CVL  DOTEX  Others (Please Specify) \_\_\_\_\_

(Please furnish photocopy of KRA Registration letter)

KRA Registration No.: \_\_\_\_\_ CKYC Registration No.: \_\_\_\_\_

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

**Note:** If any change in the current/existing KYC record, Broking/ DP will carry out fresh CKYC and KRA

**For BugleRock Capital Private Limited**

Authorised Signatory

# Consent Form

## Download Consent Form

### CENTRAL KYC RECORDS REGISTRY

Date: September 29, 2023

Reference no:- CKYC/2023/04

**To: All entities registered with Central KYC Records Registry (CKYCRR)**

Dear Sir / Madam,

#### **Sub: Download Consent Notification**

During the scrutiny of CKYC templates for uploading/updating KYC records as well as the account opening form of various reporting entities, it is observed that the consent from the customer for downloading the CKYC record from the CKYC Registry is not in-built in the template.

In view of Digital Personal Data Protection Act 2023, all the reporting entities registered with CKYCR Registry are requested to obtain the consent from the customer for downloading their CKYC record from Central KYC Records Registry

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Dear Sir/Madam,

We, Name of the Entity, a \_\_\_\_\_ [type of entity, e.g., company/trust/LLP/partnership firm], having our registered office at \_\_\_\_\_, hereby give our consent to **Buglerock Capital Private Limited** to download our KYC records maintained with the Central KYC Registry (CKYCR) for the limited purpose of verification of identity, address, and other relevant information as available in the CKYCR database.

We understand that the KYC records may include, inter alia, details such as the entity's name, registered address, PAN, incorporation details, and information pertaining to authorised signatories, beneficial owners, and other relevant KYC attributes.

We further confirm that this consent is being given voluntarily in accordance with the provisions of the **Digital Personal Data Protection Act, 2023**, and we understand that the KYC information shall be accessed and used by the Reporting Entity only for regulatory compliance and client verification purposes, and shall not be shared or used for any other purpose without our explicit consent, unless required by law or regulatory authorities.

We understand that all Reporting Entities registered with the CKYCR are required to obtain explicit consent from their clients prior to downloading their KYC data, and we hereby provide such consent.

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

# COMMON APPLICATION FORM FOR TRADING AND DEMAT ACCOUNT

# TRADING AND DEMAT ACCOUNT RELATED DETAILS

**BugleRock Capital Private Limited**

Prestige Takt, 1st Floor, No 23,, Kasturba Road Cross, Mahatma Gandhi Road, Bangalore, Bangalore, Karnataka, 560001

**FOR CORPORATE / BANK / TRUST / FI / FII / OCB / HUF / PARTNERSHIP / LLP  
TRADING AND DEMAT ACCOUNT RELATED DETAILS**

I/We request you to open the following account(s) in my/our name as per the following details.  
(Please tick only one of the following options)

Exchange Name & ID : NSE:13459, BSE : 3280	Exchange Name & ID : NSE:13459, BSE : 3280 DP IDs: CDSL: 12063500	DP IDs: CDSL: 12063500
<input type="checkbox"/> Trading Account only	<input type="checkbox"/> Trading Account and CDSL Demat Account	<input type="checkbox"/> CDSL Demat Account only

Client ID (To be filled by Participant)								
Type of Demat Account	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> OCB	<input type="checkbox"/> Mutual Fund
	<input type="checkbox"/> CM	<input type="checkbox"/> HUF	<input type="checkbox"/> Partnership	<input type="checkbox"/> LLP	<input type="checkbox"/> Clearing House		Others (Please specify) _____	
Sub - Status	To be filled by the DP							
Type of Trading Account	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Bank	<input type="checkbox"/> Trust	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> OCB	<input type="checkbox"/> Mutual Fund
	<input type="checkbox"/> CM	<input type="checkbox"/> HUF	<input type="checkbox"/> Partnership	<input type="checkbox"/> LLP	Others (Please specify)			

<b>A. Name of the Applicant</b>			
Trading Account Holder Name			
DP Holder (BO) Name	<b>Sole/First Holder Details</b>	<b>Second Holder Details</b>	<b>Third Holder Details</b>

<b>B. Other Details</b>	
SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	(This facility is made mandatory to register DDPI in demat account. Ensure that the mobile number is provided in the KYC Application Form.)  MOBILE NO. +91 _____ <input type="checkbox"/> Yes <input type="checkbox"/> No
Easi	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.

Mobile#/email id provided is also used by its Authorised Signatory/Director/Trustee/ Partner/Karta in his personal account with BugleRock Capital:	Mobile	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Email	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**If yes, specify**

Mobile No	
Email id	

<b>Name of Authorised Signatory</b>							
<b>Auth Sig PAN No</b>							
<b>Name of Director*</b>							
<b>Director's PAN</b>							
<b>Name of Trustee*</b>							
<b>Trustee PAN</b>							
<b>Name of Partner*</b>							
<b>Partner's PAN</b>							
<b>Name of Karta*</b>							
<b>Karta's PAN</b>							
<b>* According to the applicant type i.e.; Corporate, Trust, Partnership, HUF etc</b>							
<b>Please tick, if applicable</b>	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Not Applicable						
<b>Gross Annual Income Details (please specify) Income Range per annum</b>	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50 Lacs to 1 Crore <input type="checkbox"/> 1-5 Crore <input type="checkbox"/> 5-10 Crore <input type="checkbox"/> > 10 Crore						
<b>Net-worth as on date (should not be older than one year)</b>	D	D	M	M	Y	Y	Y
<b>Source of Funds (Please ensure to select at least one) (applicable for trading account holder or first holder in case of DP only a/c.)</b>	<input type="checkbox"/> Salary Income <input type="checkbox"/> Professional Income <input type="checkbox"/> Business Income <input type="checkbox"/> Rental Income <input type="checkbox"/> Fixed Deposits <input type="checkbox"/> Agricultural Income <input type="checkbox"/> Sale of Assets <input type="checkbox"/> Dividend Income <input type="checkbox"/> Loans <input type="checkbox"/> Gifts <input type="checkbox"/> Ancestral Property Others: (pls specify) .....						
<b>Professionals /Business Details* (applicable if professional Income/ Business Income above is selected)</b>	1) Profession/Business Name:						
	2) If Business, type of Business Activity:						
<b>Goods &amp; Service Tax No.</b>							

<b>C. STANDING INSTRUCTIONS</b>		
<b>I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be `Yes`)</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>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`)</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Account Statement</b>	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
<b>I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be Physical)</b>	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic	
<b>Account to be operated through DDPI (If yes, ensure SMS alert facility is opted.)</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>I / We would like to share the email ID with the RTA</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>I/We authorise you to send all communications/ statements through the e-mail only*</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>I/ We request you to enable my / our Depository account with Flag "Standing Instruction for Auto Pledge Confirmation"</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>I/ We wish to receive dividend / interest directly into my bank account through ECS (If not marked, the default option would be `Yes`, only applicable for CDSL accounts).</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>I/We would like to receive the copy of the KYC &amp; Standard Documents: -</b>	<input type="checkbox"/> Physical Mode	<input type="checkbox"/> Electronic Mode*
<b>I / We wish to receive dividend / interest directly in to my bank account 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 ]</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Address for communication / Corporate Benefits (Default option is Local Address)</b>	<input type="checkbox"/> Local/Permanent Address	<input type="checkbox"/> Correspondence Address/ Foreign Address
<b>For Joint accounts, communication to be sent to:</b>	<input type="checkbox"/> First holder	<input type="checkbox"/> All joint account holders. **
<b>Mode of Operations for Joint Accounts :</b>	<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the holder or survivor(s)***
<p>*If you require the document through electronic mode please ensure that you have registered your email id with us. All communication shall be sent at the email ID/ correspondence address of the Sole/First holder only. Read Instruction 5 in page no.2 and ensure that email ID is provided in KYC Application Form. Please ensure the correctness of e-mail address in the KYC Application Form.</p> <p>**In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise. In case if 'first holder' is selected, the communication will be sent as per the Selection. In case 'All joint account holders' is opted, communication to first holder will be sent as per the Selection and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option is selected.</p> <p>***If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.</p>		

<b>D. Bank Details</b>			
	<b>Trading</b>	<b>Demat</b>	
<b>Bank A/c No.</b>			
<b>Bank Sub-type</b>	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others .....	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others .....	
<b>Bank Name (Full name)</b>			
<b>Bank Branch Address (Write as per the manner described)</b>	Building/Tower/Apartment/Palace/ Chamber/Mansion	Building/Tower/Apartment/Palace/ Chamber/Mansion	
	Street/Road/Marg/Lane/Avenue/Rasta	Street/Road/Marg/Lane/Avenue/Rasta	
	Area Name	Area Name	
	City Name	City Name	
	PIN CODE	PIN CODE	
<b>MICR Number</b>			
<b>IFSC Number</b>			
<b>Name of Client as in Bank</b>			
(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.			
<b>E. DEALINGS THROUGH AUTHORISED PERSON (AP)/OTHER STOCK BROKERS/MEMBERS</b>			
<b>If client is dealing through the AP, provide the following</b>	<b>AP's Name:</b>		
	<b>NSE SEBI Registration number/ AP Registration number</b>		
	<b>BSE SEBI Registration number/ AP Registration number</b>		
	<b>Registered office address</b>		
	<b>Phone</b>		<b>Website</b>
<b>Whether dealing with any other stock broker/ AP/member (in case dealing with multiple stock brokers/members) provide details of all in a separate sheet</b>	<b>Name of stock broker</b>		
	<b>Client Code</b>		<b>Exchange</b>
	<b>Name of Member</b>		<b>Name of AP, if any</b>
	<b>Client Code</b>		<b>Exchange</b>
	<b>Details of disputes/dues pending from/ to such stock broker/AP/member</b>		

<b>F. DEPOSITORY ACCOUNT DETAILS</b>				
<b>(In case of other DP Account Holder, Demat master or recent holding statement issued by DP bearing name of the client)</b>				
<b>Depository Participant Name</b>	<b>Depository Name (NSDL / CDSL)</b>	<b>Beneficiary Name</b>	<b>DP ID</b>	<b>Beneficiary ID (BO ID)</b>

<b>G. PAST REGULATORY ACTIONS</b>	
<b>Details of any action/proceedings initiated/pending/ taken by SEBI/Stock exchange/ Commodity exchange any other authority and conviction by any court in India or abroad against the applicant / constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years</b>	

<b>H. RISK PROFILE QUESTIONNAIRE &amp; ASSESSMENT</b>					
For Self-Assessment Purposes Only - No Advisory Services Rendered					
Buglerock Capital Private Limited is a SEBI-registered Stock Broker offering only execution services. This questionnaire is intended solely to help clients assess their own risk tolerance. We do not offer investment advice, model portfolios, or product recommendations under Stock Broking License.					
We recommend that you answer the questionnaire without any inputs from your BugleRock Capital Sales Representative (Please tick any 1 option among those presented)					
<b>Risk Assessment</b>					
1. My understanding of investments and financial products is best described as(single select, 1st option default, mandatory)			2. Which of the following statements would be representative of your risk appetite?		
<input type="checkbox"/>	<b>A</b>	I do not understand anything about investment products	<input type="checkbox"/>	<b>A</b>	I would not be comfortable losing more than 10%
<input type="checkbox"/>	<b>B</b>	I have fair knowledge of investment products including managed solutions, MFs, etc.	<input type="checkbox"/>	<b>B</b>	I would not be comfortable losing more than 25%
<input type="checkbox"/>	<b>C</b>	I understand complex products also (eg. Derivatives)	<input type="checkbox"/>	<b>C</b>	I would be comfortable losing more than 10%
3. What is the source of your income? (Single select, no default, mandatory)			4. As a percentage of your overall financial portfolio, what would be the extent of your current borrowings:		
<input type="checkbox"/>	<b>A</b>	Inheritance / Gift / Sale of Business	<input type="checkbox"/>	<b>A</b>	>50%
<input type="checkbox"/>	<b>B</b>	Interest & dividends on existing investments/ rental income	<input type="checkbox"/>	<b>B</b>	10-50%
<input type="checkbox"/>	<b>C</b>	Salaried/ Self-employed/professional income/ regular business income/ Royalty	<input type="checkbox"/>	<b>C</b>	0-10%
Client categorization based on risk assessment and investment objectives questionnaire:			No of A		X 10 =
<input type="checkbox"/> Conservative - Score <=40			No of B		X 20 =
<input type="checkbox"/> Moderate - Score >40 -80			No of C		X 30 =
<input type="checkbox"/> Aggressive - Score >80.)					Total:-

**Declaration:-** I confirm that I am fully aware that the Buglerock Capital Private Limited (Stock Broker) is only providing execution services and does not offer any Investment Advice and Stock recommendations. I understand that the responses provided above are for internal assessment and record-keeping purposes only and do not form the basis of any advice or stock recommendation by the Stock Broker.

**Important Disclaimer**

Buglerock Capital Private is a SEBI-registered Stock Broker having SEBI Registration No. INZ000291332 and is not registered as an Investment Adviser. No employee, representative, or associate of the firm is authorized to provide any investment advice or make recommendations on specific securities or trading strategies. Any such communication, if received, should be disregarded and immediately reported to our Compliance Officer.

Note:- Reference is drawn from NSE circular having reference no NSE/COMP/ 65957 dated January 02, 2025 and BSE Notice no 20250102-3 dated January 02, 2025 respectively.

**H. TRADING PREFERENCE**

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

-	Exchanges	NSE	NSE	BSE	BSE
-	All segments in equity	Cash	F&O	Cash	Mutual Fund
Client Signatures	(Signature with relevant seal)	(Signature with relevant seal)	(Signature with relevant seal)	(Signature with relevant seal)	(Signature with relevant seal)

If, you do not wish to trade in any of segments/Mutual Fund, please mention here

**I. DOCUMENTARY EVIDENCE OF FINANCIAL DETAILS FOR DERIVATIVE CLIENTS (For Derivatives Trading**

<input type="checkbox"/> Copy of ITR acknowledgement	<input type="checkbox"/> Bank account statement for last 6 months	<input type="checkbox"/> Copy of annual accounts	<input type="checkbox"/> Copy of Form 16
<input type="checkbox"/> Networth Certificate	<input type="checkbox"/> Salary slip	<input type="checkbox"/> Copy of demat account holding statement of assets	<input type="checkbox"/> Self declaration with relevant supporting documents
<input type="checkbox"/> Any other relevant documents substantiating ownership			

\*If there is any difference between Income / Networth declared versus the corresponding proof provided then the lower of the two values will be considered

**J. FATCA DECLARATION**

Tick if applicable  Residence for tax purposes In jurisdiction(s) out side India

**ADDITIONAL DETAILS REQUIRED (Mandatory only if selection is ticked)**

ISO 3166 Country Code of Jurisdiction of Residence	
Tax identification Number of equivalent (If issued by jurisdiction)	
Place/City of Birth	
ISO 3166 Country Code of Birth	

K. Additional Details		
Whether you wish to receive Electronic Contract Note or Physical Contract Note (ECN) please specify	<input type="checkbox"/> Electronic Contract Note (ECN)	<input type="checkbox"/> Physical Contract Note
If yes, Specify your Email Id	Email Id	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
SMS and email alerts to investors by stock exchanges. (Please tick whichever is applicable. If not ticked, assumed 'Not Required')	<input type="checkbox"/> SMS <input type="checkbox"/> Email <input type="checkbox"/> Both required <input type="checkbox"/> Not Required	
For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:		
Name		Pan No
Any other Information		

L. INVESTMENT/TRADING EXPERIENCE		
Investment/Trading Experience	<input type="checkbox"/> Years in Capital Market	<input type="checkbox"/> No prior experience

M. INTRODUCER DETAILS (optional)			
Name of the Introducer	(Surname)	(Name)	(Middle Name)
Status of the Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify		
Address of the Introducer			
Phone Number			
Signature of the Introducer			

N. OTHER DETAILS			
Is the entity involved/providing any of the following services	For Foreign Exchange / Money Changer Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Gaming / Gambling / Lottery Services (e.g. Casinos, betting syndicates)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Money Lending / Pawning	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Are you a Non-Profit Organisation:	<input type="checkbox"/> Yes <input type="checkbox"/> No <small>("Non profit organisation" means any entity or organisation that is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a company registered under section 25 of the Companies Act, 1956 (1 of 1956); or Section 8 of the Companies Act, 2013)</small>		

O. IN CASE OF FIIS/OCBS/OTHERS (AS MAY BE APPLICABLE) *	
Foreign Address (Submit valid Proof of Address)	
Pin Code / Zip Code	
RBI Reference No.	
RBI Approval Date	
SEBI Registration No. (for FIIs)	

P. CLEARING MEMBER DETAILS (to be filled up by Clearing Members only for Non-Individual)			
Name of Stock Exchange		Name of Clearing Corporation	
Clearing Member Id		SEBI Registration No.	
		SEBI Registration Date	
Trade Name		CM-BP-Id (to be filled up by Participant)	

**Q. DECLARATION**

1. The rules and regulations of the Depository and Depository Participants/Capital Market pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case of non resident account, I/we also declare that I / we have complied and will continue to comply with FEMA regulations.
2. I/we understand and acknowledge the fact that I/we am/are at liberty to withdraw all or any of the information provided by me/us and the same shall be made by me/us in writing. I/we confirm and accept that such withdrawal shall entitle you to withdraw all or any of the services provided to me/us under the account opening documentation.
3. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker/commodity member, Additional Rights and Obligations of Stock Broker/Authorised Person, Other Products & Services and the tariff sheet.
4. I/We further confirm having read and understood the contents of the “Standard KYC Documents”
  - a) Rights and Obligations of stock broker and client for trading on Stock Exchanges [including additional rights & obligations in case of internet/wireless technology based trading];
  - b) Uniform Risk Disclosure Documents [For all segments/exchanges] ;
  - c) Guidance note detailing Do’s and Don’ts for trading on stock exchanges;
  - d) Most Important Terms and Conditions (MITC);
  - e) Handling Good Till Cancelled/Good Till Triggered Orders
 I have also been informed that the above-mentioned documents [a, b, c, d] in the vernacular languages are available in our Broking website.
5. 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.
6. [In the case of clients who have opened only DP accounts] I/We confirm having read and understood the contents of the Standard Documents.
  - Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and Depositories.
7. I / We further confirm having read and understood the contents of the “Investor Charter for Stockbrokers, Depositories and Depository participants”
8. I / We are aware that my/our trading/DP account will be opened as per PAN card/Applicant Name.

<b>Name of Trading Account Holder</b>	
<b>Authorised person signatures along with relevant seal:</b>	

**AUTHORISED SIGNATORIES (Enclose a Board Resolution for Authorised Signatories).**

**In case of HUF details of Karta to be given)**

<b>Sole/First Holder</b>	<b>Name</b>	<b>Signature(s)</b>
<b>First Signatory/Karta of HUF</b>		(Full signature required along with relevant seal )
<b>Second Signatory</b>		(Full signature required along with relevant seal )
<b>Third Signatory</b>		(Full signature required along with relevant seal )
<b>Other Holders</b>		
<b>Second Holder</b>		(Full signature required along with relevant seal )
<b>Third Holder</b>		(Full signature required along with relevant seal )

<b>T. LIST OF FAMILY MEMBERS (Coparcener) (Separate Annexure maybe used in case number of members is higher)</b>					
<b>Sr No.</b>	<b>Name of Coparcener/Member</b>	<b>Gender</b>	<b>Date of Birth</b>	<b>Relation with Karta</b>	<b>Whether Coparcener/Member (please specify)</b>
1					
2					
3					
4					
5					

**MODE OF OPERATION FOR SOLE/FIRST HOLDER (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)**

<input type="checkbox"/> Any one singly	
<input type="checkbox"/> Jointly by	
<input type="checkbox"/> As per resolution	
<input type="checkbox"/> Others (please specify)	

Notes:

- In case of additional signatures, separate annexures should be attached to the application form.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
  - Client must ensure the confidentiality of the password of the email account.
  - Client must promptly inform the Participant if the email address has changed.
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

**Place :**

**Date :**




# MOST IMPORTANT TERMS AND CONDITIONS (MITC)

**Annexure A**

**MOST IMPORTANT TERMS AND CONDITIONS (MITC)**

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.

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**Annexure A**

**MOST IMPORTANT TERMS AND CONDITIONS (MITC) Contd...**

(For non-custodial settled trading accounts)




8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
  
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
  
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

**Declaration:** I/We hereby confirm that i/we have read and understood the above-mentioned contents of the standard 'Most Important Terms and Conditions'.

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**GOOD TILL CANCELLED/GOOD TILL TRIGGERED ORDERS**

1. **Service Provision:** BugleRock Capital enables clients to place “Good Till Date” (GTD) orders. Only clients who have accepted the Terms and Conditions (T&C) for GTD orders are eligible to place such orders.
2. **Order Validity:** GTD allows clients to set a specific validity period for their buy and sell limit orders in the Equity segment, including Cash and MTF products. This period must be within the maximum validity date set by BugleRock Capital, which can be up to 365 days. If a corporate action such as a bonus, stock split, merger, or consolidation occurs, the order will be cancelled by the system before the ex-date of the corporate action.
3. **Eligibility:** All existing and new clients eligible to trade in the Equity segment and who have accepted the T&C can utilize the GTD facility.
4. **Product Coverage:** GTD orders are available for Equity Cash and MTF products only. They are not available for derivatives.
5. **Order Requirements:** GTD orders must specify a limit price and cannot be placed at market price. Normal brokerage and applicable charges will apply to all GTD orders.
6. **Order Re-execution:** If a GTD order is not fully executed, BugleRock Capital will treat the partially executed order as a triggered order. These orders will not be re-sent by BugleRock Capital thereafter. Additionally, there will be no partial execution of orders in the event of insufficient funds.
7. **Market Sessions:** GTD orders can be placed online only, both during market hours and after market hours, but will be sent to the market during normal trading hours on a daily basis. They are not available through Call N Trade.
8. **Funds/Margins:** Clients must ensure that sufficient funds or margins are available for GTD orders.
9. **Order Validity Date:** The date specified by the client, which must be within the maximum validity date defined by BugleRock Capital. Orders expiring on a non-trading day will be closed on the last prior trading day. The order will remain in effect until executed or cancelled by the client until the validity date.
10. **Order Monitoring:** Clients will receive daily email updates on the status of their GTD orders. Any upcoming corporate actions will be highlighted in the email, starting from the day the Exchange provides notification.

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**GOOD TILL CANCELLED/GOOD TILL TRIGGERED ORDERS (Contd...)**

11. **Price Validation:** GTD orders will not be validated against the Daily Price Range (DPR). If a GTD order is rejected by the exchange due to DPR violations during the transfer and subsequent price modifications on the same day, BugleRock Capital will not resend the order on that day. If the prices are identical on the following day, BugleRock Capital will resend the order.
  
12. **Product and Segment Restrictions:** GTD orders are available only for the Equity segment, excluding derivatives.
  
13. **Order Placement Limits:** Clients can place a maximum of 10 GTD orders. GTD orders can be placed on the Bombay Stock Exchange (BSE) and the National Stock Exchange (NSE).

**Handling of GTD Orders in Case of Corporate Actions:** - On the ex-date of corporate actions, all GTD orders will be automatically cancelled. Clients will be notified of any such cancellations.

**Terms and Conditions**

Clients must accept the Terms and Conditions associated with the GTD service to be eligible to place GTD orders. By accepting the T&C, clients acknowledge that they can place GTD orders on Equities in the cash product for a specified price until the pre-defined validity date, subject to the conditions outlined in this policy.

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**FACILITY PROVIDED TO CLIENTS FOR VOLUNTARY FREEZING/BLOCKING  
 ONLINE TRADING ACCOUNT**

Policy is framed to provide the facility of voluntary freezing/ blocking the online access of the trading account, used by the clients, on account of suspicious activities.

**Objective and scope:**

This policy is applicable to clients using online trading platform with the option to temporarily freeze their online trading accounts if any suspicious activity is observed in the trading account.

**Mode to request for voluntary freezing/ blocking the online trading account:**

- Through BugleRock Capital Private Limited Website

Client must log in on to URL <https://trade.buglerock.asia/investor-entry-level/login> and access "User Profile" and proceed to select the desired action to Freeze / Block.

- Email from the client registered Email id




Client can send an email from their registered email id provided at the time of account opening on [stoptrade@buglerock.asia](mailto:stoptrade@buglerock.asia)

The timelines for freezing/ blocking of the online access of the clients' trading account is as under

**The timelines for freezing/ blocking of the online access of the clients' trading account is as under**

Scenario	Timelines for issuing acknowledgement as well as freezing/ blocking of the online access of the trading account.
Request received during the trading hours <sup>1</sup> and within 15 mins before start of trading.	Within 15 Mins
Request received after the trading hours and 15 min before the start of trading	Before the start of next trading session

Trading hours shall be as follows: Capital Market Segment: 9.15 am to 3.30 pm, Equity Derivatives Segment: 9.15 am to 3.30 pm.

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**FACILITY PROVIDED TO CLIENTS FOR VOLUNTARY FREEZING/BLOCKING ONLINE TRADING ACCOUNT (Contd...)**

**Action followed on receipt of request through any of the Mode mentioned above**

Freeze/ Block the online access of the clients Trading account and simultaneously cancel all the pending orders of the client.

1. Post Freezing/ Blocking the client’s trading account, communication is sent on registered mobile number and registered e-mail id of the client, stating that the online access to the trading account has been frozen/ blocked and all the pending orders in the client’s trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account.
2. Details of open positions (if any) is to be communicated to client along with contract expiry information within one hour from freezing/blocking of the trading account to eliminate risk of unwanted delivery settlement.

**Risk Management**




1. Freezing/blocking is only for the online access to the client’s trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member
2. The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the exchange records.

**Re-enabling the client for online access of the trading account: -**

1. To unfreeze account, client can send an email request to [helpdesk@buglerock.asia](mailto:helpdesk@buglerock.asia)

**Reference:**

- SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024




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# Tariff Sheet

**TARIFF SHEET - MANDATORY**

**SCHEDULE OF CHARGES FOR CASH and F&O - TRADING CLIENTS**

<b>*EQUITY CASH SEGMENT</b>					
<b>Offline</b>			<b>Online (Not applicable for NRI clients)</b>		
<b>Delivery Brokerage</b>	<b>Daily Volume</b>	<b>Intraday Brokerage</b>	<b>Delivery Brokerage</b>	<b>Intraday Brokerage</b>	
0.50%	0-25 Lac	0.05%	0.3%	0.03%	
	25-50 Lac	0.04%			
	50 Lac - 1 Cr	0.035%			
	1 Cr & Above	0.03%			
<b>*DERIVATIVE SEGMENT</b>					
<b>Stock Futures</b>		<b>Index Futures</b>		Brokerage for physically settled equity derivatives shall be same as equity cash delivery segment.	
0-25 Lac	0.05%	0-10 Lac	0.05%	<b>Futures</b>	<b>Equity Options (Lot wise for Stock Index)</b>
25-50 Lac	0.04%	10-50 Lac	0.04%	0.01%	Rs 50 per lot
50 Lac - 1 Cr	0.035%	50 Lac to 2 Cr	0.03%	<b>Minimum Brokerage of Online trades.</b>	
1 Cr & Above	0.03%	2 Cr to 5 Cr	0.025%	Rs 20/- per contract or 1 paise per share whichever is higher. Both subject to maximum of Rs 0.25 per share / debenture or 2.5% of the contract price per share/ debenture whichever is higher.	
		5 Cr and Above	0.02%	In case the contract note is delivered by post then Rs 20/- per contract or 5 paise per share whichever is higher. Both subject to maximum of Rs 0.25 per share/ debenture or 2.5% of the contract price per share / debenture whichever is higher.	
<b>Options (Lot wise)</b>			<b>Minimum Brokerage of derivative segment trades.</b>		
<b>Intraday</b>		<b>Carry Forward</b>		Rs 50/- per order for every off line order (executed) using the branch set up in F&O segment.	
Rs 150 per lot		Rs 200 per lot		Both subject to maximum of 2.5% of premium amount or Rs 100 per lot for offline trade and Rs 50 per lot for online trade whichever is higher.	

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**TARIFF SHEET - MANDATORY**

**SCHEDULE OF CHARGES FOR CASH and F&O - TRADING CLIENTS Contd...**

<b>Minimum Brokerage of Offline trades.</b>	Brokerage in Expiry of Derivative contracts: Nil
DCN+DDPI Clients: Rs.20 per order for every order (executed), Rs.20 per Scrip or 1 paise per share whichever is higher, round off to two decimal places.	Offline brokerage will be applicable For "Offer For Sale & BUY Back trades"
NON-DCN/NON-DDPI Clients: Rs.20 per order for every order (executed), Rs 30/- per scrip or 5 paise per share whichever is higher, round off to two decimal places.	<b>SCHEDULE OF CHARGES FOR NRI CLIENTS: Separate sheet attached</b>
Both subject to maximum of Rs 0.25 per share / debenture or 2.5% of the contract price per share / debenture whichever is higher.	BugleRock Capital reserves the right to revise brokerage structure & other statutory charges as applicable under respective laws by display of the same on the trading website / customer communication.




<b>Statutory Charges (Applicable to Offline and Online Clients as the case may be)</b>	
Securities Transaction Tax (STT)	
Delivery in Cash	0.10%
Intraday in Cash only on selling side	0.025%
Futures only on selling side	0.0125%
Options only on selling side	0.062%
Sale of an option, where option is exercised	0.125%
Goods & Service Tax (GST)	18%
*Exchange Levy	As applicable from time to time
Stamp Duty	

\*All charges are exclusive of taxes, Levies and other statutory charges

<b>*Miscellaneous Charges</b>	
Printed Statement Request	Rs 50/- per request (through ordinary post)
Cheque Bounce/Cancellation	Rs 250/-
Interest on delayed Payments	18% per annum. Subject to change
In case of DCN bounce, charge for sending Physical contract note	Rs 20/-
Interest will be applicable at the rate of 18% per annum if 50% of overnight F&O margin requirement is not maintained in Cash or Cash equivalent.	

**Notes:**




1. Account Opening charges (Including KRA charges) for Trading Account is Rs. 1000/-
2. The above rates are exclusive of Stamp Duty and GST which will be charged extra at the rate prevailing from time to time. Further it is exclusive of Exchange Transaction Charges and SEBI turnover fees.
3. Penal charges from the exchanges towards margin shortages, position limit violations, failure / non-settlement of delivery obligations etc. shall applicable at actuals.

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**TARIFF SHEET - MANDATORY**

**Notes (Contd...)**

4. The General Rates as mentioned here shall be applied unless the Special Rates as may be agreed by the Client and the same are mentioned above.
5. Minimum brokerage of Rs. 50/- per day or the agreed brokerage, whichever is higher will be applicable.
6. For post / courier, Rs.20/- will be charge per instance.
7. For Internet and Wireless technology-based trading facility, additional charges with regard to software access etc. will be applicable as per the terms agreed at relevant point in time.
8. Any request for additional / duplicate copies of contracts and statements besides the scheduled dispatch will be charged at Rs.100/- per request.
9. Late / delayed payment charges will be levied @ 18% p.a. (subject to change).
10. For cheque cancellations / bounce, Rs.250/- (inclusive of applicable tax) will be charged.
11. Buglerock Capital, reserves the right to revise brokerage structure, statutory charges as applicable, under respective laws, and the other charges by display of the same on the trading website/customer communication through e-mails/letters.
12. You may check the prevailing brokerage rate applicable to you through your secured client login. You can access to Client login by keying your UCID/ Client code and password through website <https://trade.buglerock.asia/login>. Details of your Secured login will be given in welcome letter send to you upon activation of your account with BugleRock Capital.

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**SCHEDULE OF CHARGES - DEPOSITORY SERVICES**

TARIFF SHEET FOR DEMAT ACCOUNT

BugleRock Capital - CDSL (12063500)

Sr. No	Fee Head	Type	Fees	Min
1	Account opening charges		NIL	
2	Credit Transactions		NIL	
3	Debit Transactions like Equity / Debt / Mutual Funds (Market / Off Market)		0.04% of the value of the txn. (Max Rs 4,999/-) Inclusive of CDSL actual Debit transaction charges	Rs. 30/- Inclusive of CDSL actual debit transaction charges
4	Pledge Services (Closure / Creation / Invocation)			
5	Margin Pledge (Creation / Invocation / Closure)		Rs. 20/- per instruction	
6	Dematerialisation	Certificate + Dematerialisation Request	Rs.5/- per certificate + Rs. 35/- per request	Rs. 40/-
7	Rematerialisation	Rematerialisation Request	Rs.30/- per request + CDSL actuals, Currently a) Rs.10/- for every hundred securities or part thereof; or b) a flat fee of Rs.10/- per certificate whichever is higher	Rs.40/- (min) Rs.5,00,000 (max)
8	Reconversion of Mutual Funds/Redemption of Mutual Fund units	Reconversion of Mutual Funds Rs 30/- per request + CDSL actuals, Currently Rs 5.50/- per request in CDSL Redemption of Mutual Fund units Rs 30/- per request CDSL actuals, Currently Rs 5.50/- per request in CDSL		
9	Reissuance of Delivery Instruction Booklet (DIB)		Rs.75/- per booklet	
10	Mailing Charges Courier / Postal Charges only (Adhoc Statement)	Inland Address	Rs.35/- per request	
		Foreign Address	Rs.500/- per request	
11	Annual Maintenance Charges		AMC	Holding Value
		AMC - BSDA	*** NIL	0 to 4,00,000
		Demat Account	*** Rs 100 p.a.	4,00,001 to 10,00,000
			*** Rs 750 p.a.	Above 10,00,000
		AMC - Regular Demat Account	Rs. 750 p.a.	-




- I. Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
- II. The above charges are exclusive of applicable GST and other taxes / statutory charges levied by Government bodies / statutory authorities from time to time, which will be charged as applicable.
- III. All charges / service standards are subject to revision at the BugleRock Capital sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days.

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**SCHEDULE OF CHARGES - DEPOSITORY SERVICES (Contd).**

- IV. \*\*\* The Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. For the computation of AMC for Managed Program, the transactions for the previous year will be evaluated, and basis the number of transactions done by the customer, AMC will be levied as per the transaction slabs defined.
- V. To evaluate the eligibility for Basic Services Demat Accounts (BSDA), the value of holdings will be determined on a daily basis, as per the file sent by the CDSL The AMC will be calculated at the pro-rata basis based on the value of holding of securities in the account.
- VI. In case of BSDA, such accounts would be levied AMC applicable basis the value of holdings exceeding the prescribed limit immediately from the next day of exceeding such limit.
- VII. Incase the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard program Demat accounts without further reference to the respective customers and will be levied standard Program pricing.
- VIII. Incase if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
- IX. The value of the transaction will be in accordance with rates provided by CDSL
- X. The transaction charges will be payable monthly. The charges quoted above are for the services listed.
- XI. Any service not quoted above will be charged separately.
- XII. Debit transaction charges are inclusive of CDSL actuals which are ₹3.50 per debit instruction respectively.
- XIII. CDSL discounts on Debit transactions are  
 - Women Demat account holders (as first holder) will enjoy a discount of 0.25 per debit transaction on the CDSL actuals.  
 - Debit transactions of mutual funds & bonds will enjoy a discount of 0.25 per on the CDSL actuals.
- XIV. The operating instructions for the joint accounts must be signed by all the holders.
- XV. In case of non- recovery of service charges due to inadequate balance in your linked bank account or inadequate advance fees or invalid bank account, the Depository services for your account will be temporarily discontinued. The services will be resumed in a minimum of three working days from the date of receipt of request with BugleRock Capital and post payment of all outstanding dues towards Depository charges.
- XVI. In case the Demat accounts are with nil balances / transactions or incase if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of 1 year. However the electronic statement of holding will be sent only to the customers whose email IDs are registered for e-statement.
- XVII. The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence despatch of physical statements has been discontinued.
- XVIII. Your Transaction cum Billing statement will be available under your login on <https://trade.buglerock.asia/investor-entry-level/login> under Demat tab by second week of every month with option to view / download.
- XIX. Effective 01July'2020 stamp duty charges would be collected on consideration amount of Off Market transfer / Pledge invocation instruction, before execution of request.

**I/we agree to abide by and to be bound by all the Terms and Conditions pertaining to Debit authorisation, E-mail statement and Fee & schedule.**

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
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# FATCA / CRS Declaration

**FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION**  
**Declaration Form for Entities**  
*Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance*




**Part A**

Pan No									
Date of Incorporation	D	D	M	M	Y	Y	Y	Y	

<b>Name</b>			
Address Type [for KYC address]	<input type="checkbox"/> Residential <input type="checkbox"/> Residential / Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Business		
Place of Incorporation		Country of Incorporation	
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs - 1 Cr <input type="checkbox"/> > 1 Crore	Is the entity involved in / providing any of the following services	<input type="checkbox"/> Foreign Exchange / Money Changer Services <input type="checkbox"/> Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates] <input type="checkbox"/> Money Laundering / Pawning <input type="checkbox"/> Others [Please specify] _____
Net Worth in INR. In Lacs Net Worth as of	_____		
Are the Promotores, Directors, Partners, Trustees, Politically Exposed Person [PEP]	<input type="checkbox"/> Yes <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable	Any other information [if applicable]	[Please specify]

Is "Entity" a tax resident of any country other than India - <input type="checkbox"/> Yes <input type="checkbox"/> No			
(If „Yes“, please provide country/ies in which the entity is a resident for tax purpose and the associated TIN)			
S. No.	Country of Tax Residency	Tax Payer Identification Number/ Functional Equivalent / Company Identification Number or Global Entity Identification Number	Identification Type [TIN or other, please specify]
1			
2			

In case the Entity's Country of Incorporation / Tax Residence is US, but Entity is not a Specified US person, mention Entity's exemption code here \_\_\_\_\_ (Refer Instructions o)

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with relevant seal			

**FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION**

**Declaration Form for Entites**




*Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance*

**Part B [to be filled by Financial Institutions or Direct Reporting NFFEs]**

<p>We are a</p> <p><input type="checkbox"/> Financial Institution / FFI [refer instructions a.]</p> <p><input type="checkbox"/> Direct Reporting NFFE [refer instructions b.]</p>	<p><b>GIIN (Global Intermediary Identification Number):</b></p> <p>_____</p> <p><i>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</i></p> <p><b>Name of the sponsoring entity</b></p> <p>_____</p> <p><b>GIIN not available [tick anyone]:</b></p> <p><input type="checkbox"/> Applied For</p> <p><input type="checkbox"/> Not required to apply for - specify sub-category code</p> <p><input type="checkbox"/> (refer instruction c.)</p> <p><input type="checkbox"/> Not obtained - Non-participating FFI</p>
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**Part C [Fill any one as applicable - to be filled by NFEs other than Direct Reporting NFFEs]**

1	Is the entity is a listed company [whose shares are regularly traded on a recognized stock exchange] [refer instructions d.]	<input type="checkbox"/> No <input type="checkbox"/> Yes <i>(If Yes, Please specify any one Stock Exchange on which the stock is traded regularly)</i> Name of the Stock Exchange _____
2	Is the entity a „Related Entity“ of a listed company [whose shares are regularly traded on a recognized stock exchange] [refer instructions e.]	<input type="checkbox"/> No <input type="checkbox"/> Yes <i>Please specify the name of the listed company and one stock exchange on which stock is traded regularly)</i> Name of the listed Company _____ Nature of Relation: <input type="checkbox"/> Subsidiary <input type="checkbox"/> Controlled Name of the Stock Exchange: _____
3	Is the entity an Active NFE?	<input type="checkbox"/> No <input type="checkbox"/> Yes - Nature of Business _____ Please specify sub-category of Active <input type="checkbox"/> NFE [refer instructions g.]
4	If the entity a Passive NFE: [refer instructions h.]	<input type="checkbox"/> No <input type="checkbox"/> Yes - Nature of Business _____ If Yes, fill UBO declaration in the next section

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
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**FATCA-CRS Declaration & Supplementary KYC Information**

**Declaration Form for Entities**

Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance

# if Passive NFE, please provide the below additional details for each of the Controlling person.

(Please attach additional sheets if necessary)

S No	Name of UBO	Taxpayer Identification Number / PAN / Equivalent ID Number~	Place & Country of Birth	Country of Tax Residency*	Occupation Type [Service, Business, Others.]	Nationality	Father's Name	Date of Birth dd/mm/ yyyy	Gender [Male, Female, others]

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

~ In case TIN is not available, kindly provided functional equivalent




\* If UBO has more than one tax residency outside India, details to be provided in separate rows for each of the tax residency countries

**Client Declaration:**

I/We hereby declare that the information provided by me/us in this document is true, correct, and complete to the best of my/our knowledge and belief. I/We understand and acknowledge that in the event any information furnished herein is found to be false, untrue, misleading, or misrepresentative, I/We shall be solely liable for the consequences arising therefrom. I/We hereby provide my/our express consent and irrevocable authorization to the Stock Broker, Depository Participant, Registrar and Transfer Agents (RTAs), Mutual Funds, Asset Management Companies (AMCs), their Sponsors, Trustees, employees, CAMS, or any other authorized intermediary (collectively referred to as the "Authorized Parties") to disclose, share, transfer, or submit any of the information provided by me/us, including any updates or modifications thereto, in any manner or format as may be required, to any Indian or foreign regulatory, statutory, governmental, or judicial authority, including but not limited to the Financial Intelligence Unit - India (FIU-IND), tax/revenue authorities in India or abroad, investigation agencies, or any other regulatory body as may be legally obligated. Further, I/We authorize the Authorized Parties to share the aforesaid information with other SEBI-registered intermediaries or entities regulated by SEBI, RBI, IRDAI, or PFRDA for the purpose of enabling single submission, data verification, or for other regulatory and operational purposes, without requiring any prior intimation to me/us. I/We undertake to inform you promptly, and in any case within 30 (thirty) days, in writing, of any change or modification to the information provided herein and to provide any additional information or documentation that may be required by you, the AMC, the Fund, or any domestic or foreign regulatory or tax authority from time to time.

I/We also authorize the Fund/AMC/RTA to provide relevant information to upstream payors or other relevant entities to enable appropriate withholding, if applicable, and further authorize such parties to debit my/our account(s) or suspend/close the same, if required under applicable laws or regulations, without any obligation of prior notice to me/us.

I/We confirm that I/We have read, understood, and agree to the FATCA & CRS terms and conditions as set out below and hereby provide my/our acceptance to the same.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with relevant seal			

**FATCA-CRS Declaration & Supplementary KYC Information**

**Declaration Form for Entites**

Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance

**FATCA & CRS Terms & Conditions**




Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which require Indian financial institutions such as the Banks/other financial entities 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 30 days.

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 identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Please note that you may receive more than one request for information if you have multiple relationships with other SEBI registered intermediaries or its group entities / related parties. Therefore, it is important that you respond to such request, even if you believe you have already supplied any previously requested information.

.....

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

**FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION**  
**Declaration Form for Entities**  
*Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance*

**Instructions for FATCA & CRS Declaration**

- a. Financial Institution / Foreign Financial Institution [FFI] - Means any non-US financial institutions that is a -
  - (1) Depository institution - *accepts deposits in the ordinary course of banking or similar business;*
  - (2) Custodian institution  
*- as a substantial portion of its business, hold financial assets for the accounts of others;*
  - (3) Investment entity - *conducts a business or operates for or on behalf of a customer for any of the activities like trading in money market instruments, foreign exchange, foreign currency, etc. or individual or collective portfolio management or investing, administering or managing funds, money or financial assets on behalf of other persons; or an entity managed by this type of entity;* or
  - (4) Insurance company - *entity issuing insurance products i.e. life insurance;*
  - (5) Holding or Treasury company - *entity that is part of an expanded affiliate group that includes a depository, custodian, specified insurance company or investment entity*
- b. Direct Reporting NFFE - a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS
- c. GIIN not required category:

Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

- d. Listed Company - A company is publicly traded if its stock are regularly traded on one or more *established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)*
- e. Related Entity - an entity is a "Related Entity" of another entity if one controls the other, or the two entities are under common control (where control means direct or indirect ownership of more than 50% of the vote or value in an entity)

**FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION**

**Declaration Form for Entities**

*Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance*

- f. Non-financial foreign entity [NFFE] – Non-US entity that is not a financial institution [including a territory NFFE]. Following NFFEs are excluded from FATCA reporting – (a) Publicly traded corporation / listed companies; (b) Related Entity of a listed company; and (c) Active NFFE
- g. Active NFFE – Any one of the following –

Code	Sub-Category
01	Less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and < 50% of the assets held by NFE are assets that produce or are held for the production of passive income
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE is a 'non for profit' organization which meets all of the following requirements: <ul style="list-style-type: none"> <li><input type="checkbox"/> It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li><input type="checkbox"/> It is exempt from income tax in India;</li> <li><input type="checkbox"/> It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> <li><input type="checkbox"/> The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</li> <li><input type="checkbox"/> The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a</li> </ul>

	governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.
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- h. Passive NFE - means any NFE that is not (i) an Active NFFE or listed / publicly traded entity or entity related to the listed / publicly traded entity, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations or (iii) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity - (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)
- i. Passive Income – portion of gross income that consists of dividends, interest, rents and royalties (other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE), income equivalent to interest / amount received from pool of insurance contracts, annuities, excess of gains over losses from the sale or exchange of property / from transactions (including futures, forwards or similar transactions) in any commodities but not including (i) any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation or (ii) active business gains or losses from the sale of commodities but only if substantially all the foreign entity’s commodities are property, excess of foreign currency gains over losses, net income from notional principal contracts, amounts received under cash value insurance contracts, amounts earned by insurance company in connection with its reserves for insurance and annuity contracts.
- j. Controlling Persons means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term “Controlling Persons” shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.
- k. Non-Participating FFIs [NPFIs] – an FFI other than participating FFI, a deemed-complaint FFI, or an exempt beneficial owner
- l. Specified US Persons – Any US Person other than i). A publicly traded corporation; ii). A corporation that is a member of the same expanded affiliate group; iii). A tax exempt organization; iv). an individual retirement plan; v). the United States or an agency or instrumentality of the United States; vi). Any state [including District of Columbia and United States possession] or State Authorities; vii). A bank, viii). A real estate investment trust; ix). A regulated investment company; x). an entity registered with the SEC under the Investment Company Act of 1940; xi). A common trust fund; xii). A tax exempt trust; xiii). A registered dealer; xiv). A registered broker
- m. Expanded affiliated group – One or more chains of members connected through ownership (50% or more, by vote or value) by a common parent entity if the common parent entity owns stock or other equity interests meeting the requirements in atleast one of the other members
- n. Owner documented FFI – AN FFI meeting the following requirements – (a) FFI is an FFI solely because it is an investment entity; (b) FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company; (c) FFI does not maintain a financial account for any non-participating FFI; (d) FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in the circumstances, and (e) The designated withholding agent agrees to report to the IRS (or, in case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any US specified persons and (2) Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a US person, an exempt beneficial owner, or an exempted NFE.

**FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION**  
**Declaration Form for Entities**  
*Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance*

o. Exemption Code for US persons

Code	Sub-category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan
N	Not Applicable

# Voluntary Documents

**DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) AUTHORISATION - VOLUNTARY**

To,

**BugleRock Capital Private Limited**  
**Bangalore - 560001**

Dear Sir/Madam,

Sub: Demat Debit and Pledge Instruction (DDPI) Authorisation













I/ We,

1. ....

2. ....




3. ....

[Name/s of the DP account holder/s (as applicable)] is/ are part-taking in the trading/ investment facilities offered by BugleRock Capital Private Limited and pursuant to the same, I/we hereby authorize BugleRock Capital Private Limited. (TM/CM) to access my/our below mentioned Demat account for the limited purposes as listed below:

Sr. No.	Purpose	Signature of Client *
1	Transfer of securities held in the beneficial owner accounts of mine / us (clients) towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me / us (clients) on the Stock Exchange through BugleRock Capital Private Limited	Authorised person signature 
		Authorised person signature 
		Authorised person signature 
2	Pledging / re-pledging of securities in favour of BugleRock Capital Private Limited / Clearing Member (CM) / Clearing Corporations (CC) for the purpose of meeting margin requirements of the clients in connection with the trades executed by me/us (the clients) on the Stock Exchange.	Authorised person signature 
		Authorised person signature 
		Authorised person signature 
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	Authorised person signature 
		Authorised person signature 
		Authorised person signature 
4	Tendering shares in open offers through Stock Exchange platforms	Authorised person signature 
		Authorised person signature 
		Authorised person signature 

Kindly further note that I/we am/are entitled to revoke this authorisation at any time, after sending the revocation letter at your correspondence office to enable you to make necessary changes. I/We hereby confirm that such revocation shall not affect my/our obligations outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued towards BugleRock Capital Private Limited have been settled.

The same may be e-Signed or signed physically

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

**POA/DDPI to be signed by all the members of HUF [Applicable in case of HUF Client]  
VOLUNTARY**

To,  
**BugleRock Capital Private Limited**  
Prestige Takt, 1st Floor 23, Kasturba Road Cross,  
Bangalore - 560001 India

Dear Sir/ Madam,

1) I \_\_\_\_\_ ( Name of Karta ) hereby declare that I am the karta of the HUF \_\_\_\_\_ (Name of HUF) and following persons are Co-Parceners of this HUF.

2) We all the below mentioned coparceners declare that we are the only members of Joint Hindu Undivided Family (HUF) named \_\_\_\_\_

Details of our HUF and all its Co Parceners are stated as under

**List of co parceners**

Sr. No	Name	DOB	Relationship with the Karta	Signature
1				
2				
3				
4				
5				

To be signed by all members including female members

\_\_\_\_\_  
Signature & Stamp of Karta alongwith stamp of HUF:

**Authorisation for Receipt of Contract Notes and other documents in Digital Mode - Voluntary**

To,  
BugleRock Capital Private Limited  
Prestige Takt, 1st Floor 23, Kasturba Road Cross,  
Bangalore - 560001, India




Dear Sir / Madam,

I/We hereby consent to receive the contract note/trade confirmations of the trades executed by me/us and monthly DP transaction cum holding statements, bills & account statements thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the Rules made there under, to my self-created Email Id mentioned below -

Email Id	
----------	--

**I/We further hereby consent to the following:**

- i. That the Trading Member / Depository Participant shall fulfill its legal obligation if the aforesaid documents are sent electronically to the above e-mail id.
- ii. I/We shall communicate the change in e-mail id, if any, to you through a duly signed physical letter.
- iii. I/We undertake to check monthly DP holding and transaction statements, bills on regular basis and bring the discrepancies to your notice preferably within 48 hours of the execution of the trade or on receipt of the said statements.
- iv. Non verification or not accessing the Contract Notes / DP holding cum transaction statements on regular basis from my/our part shall not be a reason for disputing the contract note or the DP holding or transaction statements at any time.
- v. That the Trading Member / Depository Participant will not be responsible for non-receipt of documents sent via electronic delivery due to change in email address as mentioned above or for any other reason which inter alia include the malfunction of my/our computer system/server/internet connection etc.
- vi. That the non-receipt of bounced mail notification by BugleRock Capital shall amount to delivery of the documents at my/our E-mail ID.
- vii. That the Trading Member / Depository Participant shall not take cognizance of out-of office/out-of-station auto replies and I/We shall be deemed to have received such electronic mails.
- viii. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- ix. My email id is \_\_\_\_\_. This has been created by me and not by someone else.  
Digital Contract notes will also be available at URL <https://trade.buglerock.asia/investor-entry-level/login> (Web link for client login).
- x. Clients can view the Digital Contract notes on URL by using the username & password.
- xi. The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note and do hereby take full responsibility for the same.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with relevant seal			

**AUTHORITY TO RETAIN FUNDS AS RUNNING ACCOUNT FOR ALL EXCHANGES - VOLUNTARY**




To,  
 BugleRock Capital Private Limited  
 Prestige Takt, 1st Floor 23, Kasturba Road Cross,  
 Bangalore - 560001, India

Dear Sir/Madam,

Subject: Running Account Authorization.

Ref: My UCC Code: \_\_\_\_\_ Client Name: \_\_\_\_\_

1. I/We hereby authorize you to release the funds due to me/us in my/our account, arising from transactions executed through you, on a *running account basis* instead of a *settlement to- settlement basis*. This authorization is granted to facilitate ease of operations.
2. I/We request you to maintain the running balance in my/our account(s) and retain any credit balance in such accounts. The retained funds may be utilized towards meeting my/our margin, pay-in obligations, or any other future obligations across any segment(s) of any or all exchange(s), in accordance with margin requirements specified by the exchanges. This request is made to ensure operational efficiency and compliance with the upfront margin requirements for trades.
3. I/We agree to the periodic settlement of my/our account as per the provisions mentioned herein, excluding:
  - a. Funds provided as collateral or margin in the form of Bank Guarantees or Fixed Deposit Receipts.
  - b. Clients availing margin trading facilities.
4.
  - a. The running account of funds shall be settled on a quarterly basis after considering the End of Day (EOD) fund obligations as of the settlement date.
  - b. The settlement shall occur on the first Friday of each quarter (i.e., Apr-Jun, Jul-Sep, Oct-Dec, Jan-Mar). If the first Friday is a trading holiday, the settlement shall occur on the preceding trading day.
  - c. For example, settlements will occur on the first Friday of October 2022, January 2023, April 2023, July 2023, and so forth.
5.
  - a. Brokers shall provide clients with the option to choose between quarterly or monthly settlement of running accounts.
  - b. For clients opting for monthly settlement, the running account shall be settled on the first Friday of every month. If the first Friday is a trading holiday, the settlement shall occur on the preceding trading day.
6.
  - a. If I/We have any outstanding trade positions on the scheduled settlement date, you may retain funds as per the retention criteria specified in SEBI Circular SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated June 16,2021.
  - b. The retention statement, along with the statement of running account, shall be sent to me/us within five working days from the date of settlement.




	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

**AUTHORITY TO RETAIN FUNDS AS RUNNING ACCOUNT FOR ALL EXCHANGES - VOLUNTARY (Contd...)**

7. a. Pay-in obligations of funds outstanding as of T-day and T-1 day.  
 b. Margin liabilities, including additional margins, up to 125% of the total margin liability across all segments, with a maximum retention of 225% of the total margin liability.
8. Funds received from clients whose running accounts have been settled shall remain in the "Upstreaming Client Nodal Bank Account" and shall not be used to settle obligations of other clients.
9. a. The running account shall be deemed settled only upon the actual transfer of funds to my/our bank account.  
 b. Journal entries shall not constitute settlement, except for the levy or reversal of charges.
10. a. For clients with a credit balance who have not traded in the last 30 calendar days, the entire credit balance shall be settled on the next scheduled settlement date.  
 b. If the client resumes trading after 30 days but before the settlement date, the account shall continue to be settled as per the client's chosen preference (quarterly or monthly).
11. In the case of settlement through physical payment instruments (cheque or demand draft), the date of realization of the instrument into my/our bank account shall be considered the settlement date.
12. a. Upon settlement of the running account, intimation shall be sent to me/us via SMS on the registered mobile number and email on the registered email ID provided at the time of account opening.  
 b. The intimation shall include transaction details (e.g., transaction number and date for electronic transfers, or instrument number and date for physical instruments).
13. In the event of any dispute arising from the statement of account or the settlement of funds, I/We shall bring the same to the notice of the Trading Member (BugleRock Capital Private Limited) within 30 trading days from the receipt of the funds or statement, as applicable.
14. I/We hereby indicate my/our preference for the periodic settlement of funds (tick the appropriate choice):

<input type="checkbox"/> Once in a calendar Month	<input type="checkbox"/> Once in the calendar Quarter
---	---

(If no check box is selected, the settlement will be done Quarterly)

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with relevant seal			

**AUTHORITY TO RETAIN FUNDS AS RUNNING ACCOUNT FOR ALL EXCHANGES - VOLUNTARY (Contd...)**




As per SEBI Circular CIR/MIRSD/01/2011 dated May 13, 2011, the following terms are acknowledged and agreed upon:

- The authorization and instructions provided in this letter are revocable by me/us at any time, without the requirement of prior notice. I/We understand and acknowledge that the authorization contained herein shall remain in effect until expressly revoked by me/us in writing.
  
- In the event of revocation of the authorization, for any reason whatsoever, I/We hereby acknowledge and agree that BugleRock Capital Private Limited shall have the right to settle my/our Broking Account on a per-trade basis or in any other manner permitted under the applicable regulatory framework, as issued by SEBI or other relevant authorities from time to time.

I/We confirm that this authorization shall be executed solely by me/us and not by any power of attorney holder or other authorized representative.

Thanking You,

Yours faithfully,

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with relevant seal			

**Application for activation of Mutual Fund Segment @ BSE StAR MF**

Client Name	
Client Code	

I/We am/are registered as your client with above mentioned Trading a/c no. for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange) / BSE Ltd.




- i. I/We am/are interested in availing the BSE StAR MF facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF of the Exchange.
- ii. For the purpose of availing the BSE StAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.
- iii. I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 02, 2009 (BSE) and as may be specified by the Exchange from time to time in this regard.
- iv. I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).
- v. I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund schemes.
- vi. I/We therefore request you to register me/us as your client for participating in the BSE StAR MF.
- vii. I/We hereby confirm having read and understood the terms & conditions and disclosures provided Overleaf

**\* Declarations:**

I / We confirm that my income range and occupation details is (please tick the relevant box)

<input type="checkbox"/> >1 lakh	<input type="checkbox"/> 1 lakh to 5 lakh	<input type="checkbox"/> 5 lakh to 10 lakh	<input type="checkbox"/> 10 lakh to 25 lakh	<input type="checkbox"/> Above 25 lakh
<input type="checkbox"/> Public Sector	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Govt. Service	<input type="checkbox"/> Business	<input type="checkbox"/> Professional
				<input type="checkbox"/> Others (Pls.specify) _____

Yours faithfully,

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with relevant seal			

**LETTER FOR SECURITIES TRADING USING INTERNET & WIRELESS TECHNOLOGY - VOLUNTARY**

To,  
**BugleRock Capital Private Limited**  
 Prestige Takt, 1st Floor 23, Kasturba Road Cross,  
 Bangalore - 560001, India

**Sub: Securities trading using Internet & wireless technology (incl. trading through mobile application).**

Client Name	
Client Code	




I/ we, registered as your client in the capital market segment wish to trade through Internet & wireless technology (including trading through mobile application) in the NSE Cash, NSE F&O segment and BSE cash.

I/we am / are interested in carrying securities trading through use of Internet & wireless technology which shall include devices such as mobile phone, PC's & laptop with data card etc. using internet protocol (IP) and /or through mobile application.

I/we understand that the terms and conditions applicable to internet-based trading will also be applicable to securities trading through use of wireless technology. I/ we am/are made aware by you regarding all the possible risks including risk of misuse and unauthorized use of username and or password by a third party and the risk of a person hacking into our account on your ITORS system and, responsibilities and liabilities associated with securities using Internet & wireless technology.

I/we shall be fully liable and responsible for any and all unauthorized use and misuse of our password and/ or username and also for any and all acts done by any person through your ITORS system on our username in any manner whatsoever.

I/we hereby confirm you to send my/ our username and password on my/ our registered email address \_\_\_\_\_ and therefore request you to enable me/ us for carrying securities trading through use of Internet & wireless technology (Including trading through mobile Application)




	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

**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.)

Client Name	
Client Code	

- i. 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.
- ii. 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.
- iii. 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.
- iv. 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.
- v. The Client shall be responsible for keeping the User name and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's User name 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.

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- vi. The Client agrees that he/she/it shall not engage in any activities that may compromise the integrity, security, or functionality of the Stock Broker's systems and networks. This includes, but is not limited to, the following prohibited actions: attempting to gain unauthorized access to any part of the Broker's systems, scanning or probing the Broker's networks for vulnerabilities, deploying or installing any software or digital components without explicit authorization, altering application configurations, or engaging in any conduct that may disrupt or interfere with the services provided by the Broker. Any violation of this clause will result in suspension or termination of the Client's account and may lead to legal action for damages incurred as a result of such violations.
- vii. 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 user name/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
- viii. 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 User name/password in any manner whatsoever.
- ix. 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.
- x. 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.
- xi. 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.

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# PMLA

**PMLA GUIDELINES**

**Buglerock Capital Private Limited - Anti Money Laundering - Investor Awareness Initiative**

Stock Exchanges and Depositories and their brokers/members/ Depositories Participants i.e. intermediaries are under the ambit of the Prevention of Money Laundering Act, 2002 (PMLA). Buglerock Capital Private Limited. (Buglerock Capital), with memberships at the Stock Exchanges and Depository Participant in India, is bound by the guidance and directives relating to the implementation of the provisions of the PML Act - to prevent money laundering in the Capital Markets in India and to combat financing terrorism within the country and outside so that objects of the PML Act are achieved.

This document is an attempt by Buglerock Capital to engage with its clients, to highlight to them that Buglerock Capital is expected to have adequate controls and procedures in place so that it knows the clients with whom it is dealing. Adequate due diligence on new and existing clients is a key part of these controls. As a regulated entity, Buglerock Capital has to follow the directives issued by Exchanges, in this regard, in letter and spirit.




**1. What is the PML Act about?**

The Prevention of Money Laundering (PML) Act, 2002 was enacted in January 2003. The Act along with rules framed there-under have come into force with effect from 1st July 2005.

- d. Stock/Commodity Exchanges and their brokers/members have been brought under the ambit of PMLA through an amendment in the said Act in 2012 (No.2 of 2013) w.e.f. 15th February 2013.
- e. It prescribes obligation of banking companies, financial institutions and intermediaries for verification and maintenance of records of the identity of all its clients and also of all transactions and for furnishing information of such transactions in prescribed form to the Financial Intelligence Unit-India (FIUIND).
- f. It has three main objectives: (i) to prevent & control money laundering (ii) to confiscate & seize the property obtained from laundered money and (iii) to deal with any other issue connected with money laundering in India.

**2. What is the Institutional/ Statutory framework?**

- g. The powers of investigation and prosecution for offences under the Act have been conferred on the Director, Enforcement Directorate (ED). The ED is under administrative control of Department of Revenue (DOR), Ministry of Finance. The ED can undertake survey, search, seizure, arrest, prosecution action against an offender.
- h. The central agency responsible for receiving, processing, analyzing and disseminating information relating to “suspect financial transactions” is the FIU-IND. It was set up in 2004 and is an independent body reporting directly to the Economic Intelligence Council (EIC) headed by the Finance Minister of India.

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**PMLA GUIDELINES (Contd....)**

**3. What is Money Laundering?**

Money Laundering generally is defined as any act or attempted act to conceal or disguise the identity of illegally obtained proceeds so that they appear to have originated from legitimate sources. The PMLA states that *“whosoever directly or indirectly attempts to indulge or knowingly assists or knowingly is a party or is actually involved in any process or activity connected with the proceeds of crime and projecting it as untainted property shall be guilty of offence of money laundering.”*

**4. What are the obligations of Buglerock Capital as part of the requirements of the PML Act?**




- i. Buglerock Capital, like other intermediaries, is under obligation to establish policies and procedures that effectively serve to prevent and impede money laundering (ML) and terrorist financing (TF). It is mandated upon the senior management of Buglerock Capital to ensure their effectiveness and compliance with all relevant legal and regulatory requirements.
- j. Besides several stipulations, it is mandatory for Buglerock Capital to (i) adopt client acceptance policies and procedures which are sensitive to the risk of ML and TF (ii) undertake client due diligence (CDD) measures to an extent that is sensitive to the risk of ML and TF depending on the type of client, business relationship or transaction.

**5. What are broadly the procedures that Buglerock Capital follows with regard to its clients / customers?**

As part of its overall “Client Due Diligence Process”, under the parameters of (a) policy of acceptance of clients, (b) procedure for identifying the clients, (c) transaction monitoring & reporting, especially Suspicious Transaction Reporting (STR), Buglerock Capital may seek / insist upon certain documents & proofs from its clients, which would be over & above the mandatory documents prescribed under the Know Your Client (KYC) & KYC Registration Agency (KRA) guidelines / regulations. These, to also enable Buglerock Capital comply with its obligations under the PMLA, in letter and spirit.

The below is not an exhaustive list. It is only an indicative list for the reference of the clients of Buglerock Capital, helping them to understand and appreciate the same in the background of the requirements imposed and obligatory upon Buglerock Capital. The directives of the Stock Exchanges and Commodity Exchanges state about risk-based approach to acceptance of clients as well as it defines special category of clients. Buglerock Capital is bound to ensure compliance with the same.

- k. Profile in terms of nature of employment / business, Address of work-place / business and landline contact
- l. References (of persons known)
- m. Last 6 months or 12 months Bank Statement
- n. Income Tax Returns, Net worth Certificate
- o. Spouse / Parent / Household income (eg. in case of homemaker, student, retired person)
- p. Depository Transaction Statement Contd.
- q. Bank statement or Bank Letter or any such proof evidencing Demand Draft / Pay -order being drawn from client’s Bank account
- r. Annual Reports, Balance Sheet and P&L, Annual Returns, Shareholding pattern certificate (in case of non-individual / corporate entities)

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**PMLA GUIDELINES (Contd....)**

**6. Why does Buglerock Capital urge its client to update the Know Your Client (KYC) on an Annual basis?**

- s. Under the Rights and Obligations of Members, Authorised Persons and Clients, it is obligatory upon the client to not only immediately notify Buglerock Capital in writing, any change in the information in the account opening form of the client, but also to provide / update the financial information to Buglerock Capital on a periodic basis.
- t. Unless warranted otherwise, in order to comply with PMLA requirements, Buglerock Capital seeks confirmation of all KYC particulars from its client alongside the financial details, on an annual basis.

The Authorised staff of Buglerock Capital and its Authorised Persons will be seeking to meet the client, in-person and verify the Originals of copies of all documents / proofs collected from the client that form part of the client’s account opening form as well as any information updated, thereafter.




*Note: Reference is drawn from SEBI/CIR/ISD/AML/3/2010 - Master Circular on AML/CFT Anti Money Laundering (AML) Standards/ Combating the Financing of Terrorism (CFT) /Obligations of Securities Market Intermediaries under the Prevention of Money Laundering Act, 2002 and Rules framed there under.*

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**DECLARATION WITH RESPECT TO LEGITIMATE SOURCE OF FUNDS**

<b>Particulars</b>	<b>Details</b>	<b>Notes/remarks</b>
Full name of Client		
Description and Brief Profile of Client		
Client Sourced by, if applicable		
Initial Investment Amount (INR)		
Source of funds		
Networth of Investor		
Income for last 1 Years (INR)		
Nature of Occupation / Business		
Any other remarks		

I/We hereby declare and confirm that the above details given by me/us are true and accurate, and that the income/source of funds is through legitimate source and does not involve and is not designed for the purpose of any contravention or evasion of the provisions of any Act, Rules, Regulations, Notifications or Directions of Income Tax Act, Prevention of Money Laundering Act, Anti-Corruption Act or any other applicable laws, as may be in force from time to time.

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**Declaration Form of Non-Profit Organization (NPO)**

(Mandatory for Trusts/Society)

Investor Name										
PAN										

I/We hereby confirm that above stated entity / organization is falling under “Non-profit organization” [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

Enclosed relevant documentary proof evidencing the above definition.




We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

Registration Number of DARPAN portal	
--------------------------------------	--

If not, please register immediately and confirm with the above information. In absence of receipt of the Darpan portal registration details, MF/AMC/RTA will be required to register your entity on the said portal and/or report to the relevant authorities as applicable.

I/We hereby confirm that the above stated entity / organization is NOT falling under Non-profit organization as defined above or in PMLA Act/Rules thereof.

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

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# CDSL Terms and Conditions

**Terms And Conditions-cum-R Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL registration / Modification Form for receiving SMS Alerts from CDSL**

**Annexure 2.4**

**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.




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**Terms And Conditions-cum-R Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL registration / Modification Form for receiving SMS Alerts from CDSL (Contd...)**

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 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 without 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.

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**Terms And Conditions-cum-R Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL registration / Modification Form for receiving SMS Alerts from CDSL (Contd...)**

**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 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.

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
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**Terms And Conditions-cum-R Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL registration / Modification Form for receiving SMS Alerts from CDSL (Contd...)**

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.

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).

**BOID**

DP ID	12063500
Client ID	

Mobile Number on which messages are to be sent

--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)




**The mobile number is registered in the name of:**

---

**Email ID:**

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

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# Basic Services Demat Account (BSDA)

**"BASIC SERVICES DEMAT ACCOUNT" (BSDA) TERMS AND CONDITIONS**

**A. Eligibility:**

BO shall be eligible to opt for BSDA subject to the following conditions.




- i. All the individuals who have or propose to have only one demat account where they are the sole or first holder.
- ii. Individuals having any other demat account/s where they are not the first holder shall be eligible for BSDA in respect of the single demat account where they are sole or first holder.
- iii. The individual shall have only one BSDA in his/her name across all depositories.
- iv. Value of securities held in the demat account shall not exceed Rupees Ten Lakhs at any point of time

**B. Annual Maintenance Charges:**

- i. The Slab wise maximum AMC which can be charged by participants is as given below:

<b>Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)</b>	<b>Maximum Annual Maintenance Charges</b>
Up to ₹ 4 lakhs	NIL
More than ₹ 4 lakhs but up to ₹ 10 lakhs	₹ 100
More than ₹ 10 lakhs	Not a BSDA. Regular AMC may be levied.

- ii. In case the value of the holdings in the BSDA exceeds the prescribed criteria of ₹10,00,000 (Rupees Ten lakh only) at any point of time, the regular tariff applicable to non-BSDA would be charged from that date onwards.
- iii. The value of holding shall be determined by BugleRock Capital Private Limited on the basis of the daily closing price or NAV of the securities or units of mutual funds, as the case may be. Where such a price is not available the last traded price may be taken into account and for unlisted securities other than units of mutual funds, face value may be taken into account.
- iv. BugleRock Capital Private Limited shall reassess the eligibility of the BOs at the end of every billing cycle and give an option to the BOs who are eligible to opt for BSDA.




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**"BASIC SERVICES DEMAT ACCOUNT" (BSDA) TERMS AND CONDITIONS (Contd...)**

**C. Services for Basic Services Demat Accounts:**

- a. Transaction statements:
  - i. Transaction statements shall be sent to the BO at the end of each quarter. If there are no transactions in any quarter, no transaction statement may be sent for that quarter.
  - ii. If there are no transactions and no security balance in an account, then no further transaction statement needs to be provided.
  - iii. Transaction statements shall be required to be provided for the quarter in which the account became a zero-balance account.
  
- b. Holding Statement:
  - iv. One annual physical statement of holding shall be sent to the stated address of the BO in respect of accounts with no transaction and nil balance.
  - v. One annual statement of holding shall be sent in respect of remaining accounts in physical or electronic form as opted for by the BO.
  
- c. Charges for statements: Electronic statements shall be provided free of cost. In the case of physical statements, BugleRock Capital Private Limited shall provide at least two statements free of cost during the billing cycle. Additional physical statement shall be charged at a fee of Rs.25\*/- per statement.
- d. All BOs opting for the facility of BSDA, shall register their mobile number for availing the SMS alert facility for debit transactions.
- e. At least Two Delivery Instruction Slips (DIS) shall be issued at the time of account opening.
- f. In case the individual already has BSDA or open a new BSDA on a later date, then status of this demat account as BSDA will cease to exist.
- g. All other conditions applicable to regular demat accounts, other than the ones mentioned above, shall continue to apply to basic services demat accounts.

\* Please note that basis Goods and Services Tax (GST) regulations and notified GST rates, Central GST, State/Union Territory GST, or Inter-State GST, as applicable, and Cess as applicable would apply on our fees and charges.

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# Other Documents

**FAMILY DECLARATION - EMAIL/ MOBILE UPDATION IN FAMILY CODES**

(Compulsory in case having common email & mobile in more than one A/C in BugleRock Capital Private Limited)

To,

BugleRock Capital Private Limited

Dear Sir/Madam,

I and my family members hereby request that mobile number and email id , as mentioned on KYC Page shall be considered in your records for the purpose of receiving communication from BugleRock Capital Limited or Stock Exchanges/ Depositories with regard to trading / demat transactions executed by me / us through BugleRock Capital Private Limited.

Thus, any communication relating to my /our trading and demat accounts should be sent to mobile number and e-mail id mentioned on KYC Page. This facility shall be provided to me/us as an exception, for my / our convenience of receiving transaction details at a single mobile number and e-mail id. I / we understand that for the purpose of availing the above facility by the family members where "**family**" means **self, spouse, dependent children and dependent parents**. (As per the SEBI Guidelines).

Sr. No	Client Name	Client ID/ UCC	Relationship	Signature
1			Self (Mandatory)	
2			Dependent Parent - Mother	
3			Dependent Parent - Father	
4			Spouse	
5			Dependent Daughter	
6			Dependent Daughter	
7			Dependent Son	
8			Dependent Son	
9			Non-Individual like company / HUF / Partnership etc.	
10			Non-Individual like company / HUF / Partnership etc.	
11			Non-Individual like company / HUF / Partnership etc.	

(In case of Non-Individual Person Should be either Director / Authorised Person / Partner / Karta of HUF/Partnership etc.) (In case of additional Son / Daughter/Non-Individual kindly provide details in separate sheet.)

**AUTHORISATION FOR REPLEDGE OF SHARES/ SECURITIES AS COLLATERAL**

To,  
 Buglerock Capital Private Limited  
 Bangalore - 560001




**Subject:** Authorisation for Repledge of Shares/ Securities as collateral with Exchange(s)/ Clearing Corporation(s) / Clearing Member(s) for any/all segment(s) towards Margin Requirement.

Dear Sir/Madam,

In respect of the Securities owned by me/us, I/we declare and assure that the said Securities (shall mean all the securities lying in my/our Depository Account No. \_\_\_\_\_ (hereinafter referred to as "Account") with the custodian/depository participant and shall include all securities given as Margin Pledge in addition, substitution or replacement of the securities in the said Account) are given by me/us to the Clearing Member/ Trading Member may Repledge the same with Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) as collateral for which I/we hereby authorise you to Repledge the said Share(s)/Securities with Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) as collateral.

**I/We hereby confirm that:**




- i) the Said Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- ii) the Said Securities will be subject to the creation of Margin Repledge in favour of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) and further that the Securities over which Repledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that my/our said Securities to be given in future as security would likewise be unencumbered, absolute and disposable property.
- iii) the Trading member/ Clearing Member is authorized to do all such acts and things, sign documents and pay and incur any applicable cost, debts and expenses as may be necessary under the Deed of Pledge and the same shall be subject to the terms and conditions as contained therein.
- iv) the Said Securities shall be subject to the first priority and lien in favour of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) to secure obligations and that the rights or interests with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) in respect of the Said Securities.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with relevant seal			

**AUTHORISATION FOR REPLEDGE OF SHARES/ SECURITIES AS  
 COLLATERAL (Contd...)**

v) Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) in which said securities are pledged, may invoke the pledge without any reference to me/us or my/our permission and upon receipt of the Said Securities may utilize the proceeds in meeting obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against the Clearing Member and me/us.

vi) I / We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities from Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s).

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			




**UNDERTAKING FROM CLIENTS ON THE EQUITY DERIVATIVE FOR AVAILING EXPOSURE AGAINST HOLDINGS**

To,  
 BugleRock Capital Private Limited  
 Bangalore - 560001

Client Name	
Client Code	

I, We have opened Trading and Demat account with BugleRock Capital for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange) / BSE Ltd. hereby undertakes as follows:

- i. Whereas I have opted to avail exposure against holdings (of approved scrips as per Buglerock RMS policy) in the Equity derivative. I am aware and agree that trading in Equity derivative involves daily settlement of MTM losses and a failure on my part to remit the same may result in the sale of the holdings by Buglerock Capital Private Limited.
- ii. I am also aware that the markets can be volatile as a result of which I may be called upon to pay additional margins by Buglerock Capital. I understand and affirm that in the event of my failure to meet such enhanced margin requirements, within the time frame stipulated by Buglerock Capital, it (Buglerock Capital) can close out my positions and still if any outstanding amount are found payable to Buglerock Capital the same shall be recovered by selling the said holdings from my DP Account. The timing and choice of shares and its price shall be at the discretion of Buglerock Capital.

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

[On the Letterhead of the Client Entity]

**TRADING AUTHORIZATION LETTER - For Non-Individual Clients**

Date:

To  
 Buglerock Capital Private Limited  
 Bangalore - 560001

**Subject:** Authorization to Place Orders on Behalf of the Legal Entity

We, [Full Name of the Entity], a [Company/LLP/Firm/Trust/Other], having our registered office at [Address], opened Trading and Demat account with BugleRock Capital for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange) / BSE Ltd. hereby authorize the following individuals to act on our behalf solely for the purpose of placing trading and/or investment orders in securities, including but not limited to equities, derivatives, mutual funds, and any other instruments permitted by the Exchange(s) or SEBI:

**Authorized Person Details: (to be provided if multiple persons has been appointed)**

Particulars	Details
Full Name	
Designation	
Pan No	
Email Id	
Contact Number	
Specimen Signature	

This authorization is being granted based on a resolution passed by our Board / Governing Body / Partners / Trustees dated [●] authorizing the above-mentioned persons to act on behalf of the entity for trading and investment-related purposes.

We confirm and undertake as follows:

1. The above Authorized Person shall be permitted to:
  - Place buy/sell orders;
  - Confirm contract notes and trade executions;
  - Communicate trade-related instructions;
  - Receive communications from Buglerock Capital relating to trades placed on behalf of the entity.
2. All such orders/instructions placed by the Authorized Person shall be deemed to have been given by us and shall be binding upon the entity.
3. We undertake to inform Buglerock Capital immediately in writing of any change or cancellation of this authorization. Until such written intimation is received and

acknowledged by Buglerock Capital, all acts of the Authorized Person shall be binding upon us.

4. We agree to indemnify and keep indemnified Buglerock Capital Private Limited and its directors, officers, employees, and affiliates from and against all claims, liabilities, damages, losses, costs, and expenses including legal fees arising out of any actions or omissions of the Authorized Person.
5. This authorization shall remain valid unless revoked in writing by the entity.

Thank you.

Yours faithfully,

For [Full Name of the Legal Entity]

**Name:**

**Designation:**

**DIN/Partner ID:**

**Authorized Signatory**

(With Company Seal)

**CLIENT CONSENT REQUEST**

As you may be aware, Buglerock Capital Private Limited (“**Buglerock Capital**”) and group companies, affiliates and partners of Buglerock Capital (collectively referred to herein as, “**Buglerock Group**”) provide to its valued clients, at their request, personalized recommendations regarding financial products and services, including value-added products and value-added services for their consideration.

If you wish us to provide personalized recommendations to you regarding financial products and services, including value-added products and value-added services, offered by the Buglerock Group, we will require your consent to collect, process and to share your personal data with the members of Buglerock Group. This personal data includes your financial, geographic, and demographic data listed in the **Annexure** attached hereto (collectively, “**Personal Data**”).




Any Personal Data shared and used within the Buglerock Group, only for the purpose mentioned herein. Further, Your Personal Data will be retained only for as long as necessary to fulfill the purposes for which it was collected.

We kindly request you to review the components of Personal Data that will be collected, processed, and shared within the Buglerock Group.

**Annexure**

The Personal Data that will be collected, processed, and shared with Buglerock Group is listed below:




- Name, date of birth, gender, occupation
- Correspondence / Permanent address
- PAN number
- Mobile number, and mobile device information such as mobile device ID, model, operating system or version information
- Email address
- Personal information in any document accepted as Proof of Identity (PoI) or Proof of Address (PoA) pursuant to SEBI norms
- Financial information including annual income, source of income, net worth, income tax return, copy of ITR acknowledgements, copy of Form 16, investments details, bank statements, salary slip, statement of demat holdings, personal life Insurance, health and general insurance, financial history.

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

Please read the following statements, and check the boxes to confirm that you have read and acknowledge them.

<input type="checkbox"/>	I/We understand that availing personalized recommendation regarding financial products and services, value-added products and value-added services from Buglerock Group is voluntary, and I/We wish to continue availing information for all types of financial products, including but not limited to investment and insurance products, and value-added services and products for my/our personal benefit from Buglerock Group.
<input type="checkbox"/>	I/We consent to the collection, processing, and retention of my/our Personal Data and sharing my/our Personal Data with Buglerock Group for the purposes of marketing and making personalized recommendations to me/us regarding financial products and services, value-added products and value-added services, offered by Buglerock Group.
<input type="checkbox"/>	I/We agree to receive information on financial products, offers, and services through various communication modes (telephone calls, SMS, emails, WhatsApp, etc.) and subscribe to and receive newsletters, recommendations and other communications from Buglerock Group.

Further, I/ We confirm, agree and consent that my consent as above with respect to any account I/ We have opened with Buglerock Capital shall constitute my consent in relation to the above with respect to the account I have opened as well as all my other accounts with Buglerock Group.

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

**Consent for Sharing of Client Information with Third-Party Product Providers**

*(Pursuant to applicable SEBI Regulations and Circulars)*




To  
 Buglerock Capital Private Limited  
 Bangalore - 560001

I/We \_\_\_\_\_ Indian Resident/NRI,  
 aged \_\_\_\_\_ years, S/o /D/o \_\_\_\_\_  
 residing at \_\_\_\_\_

\_\_\_\_\_ being a client of Buglerock Capital Private Limited with Trade Code \_\_\_\_\_

I/We, the undersigned, hereby provide my/our **express and explicit consent** to **Buglerock Capital Private Limited** ("Trading Member") for sharing my/our information with Third-Party Product Providers, subject to the terms and conditions set out below:

1. I/We understand and acknowledge that the Trading Member may offer third-party financial products or services through its platform. These products are **not exchange-traded products**, and the Trading Member acts solely as a **distributor** of such products.
2. I/We understand that **no information related to my/our trades, fund balances, or settlement obligations** shall be shared with any Third-Party Product Provider unless such disclosure is expressly permitted under the applicable SEBI regulations, or the recipient entity is regulated by SEBI **only for the limited purpose of displaying such information to me/us**.
3. I/We hereby **authorize the Trading Member** to share the following personal and account-related information (excluding trade, fund balance, and settlement obligation data) with the Third-Party Product Provider **only upon my/our selection and opt-in**:
  - o Name and contact details (such as phone number, email ID)
  - o Investment profile and risk assessment
  - o Investment preferences, if any
  - o Other non-transactional data as may be required for product suitability assessment or onboarding




	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

**Consent for Sharing of Client Information with Third-Party Product Providers (Contd...)**

4. I/We confirm that:

- This consent is being provided voluntarily.
- I/We have been given the **option to opt-in** for sharing my/our information, and no Third-Party Product shall be mandatorily imposed or pre-selected by the Trading Member.
- I/We may **withdraw this consent at any time** by providing written or electronic intimation to the Trading Member, upon which the Trading Member shall cease sharing any further information with such Third-Party Product Providers.

I/We understand that all disputes or issues, if any, arising from my/our interaction with such Third-Party Product Providers **shall lie solely between me/us and the respective provider**. I/We further acknowledge that such disputes shall **not be eligible for redressal through SEBI SCORES, Exchange Investor Grievance Redressal Mechanism, or Arbitration**.

	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>	<b>Authroised Signatory</b>
Name			
Signatures along with relevant seal			

# Issue of DIS Booklet

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

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

DP ID	1	2	0	6	3	5	0	0	Client ID							
BO Holder Name																

To,

**BugleRock Capital Private Limited**  
**Bangalore - 560001**




Dear Sir / Madam,

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

**OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though 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.

Yours faithfully




	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures Along with seal			

**OR**

**u. 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

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures Along with seal			

# Acknowledgment of receipt of KYC documents

**ACKNOWLEDGMENT OF RECEIPT OF KYC DOCUMENTS**

To,  
 BugleRock Capital Private Limited  
 Bangalore - 560001

I hereby acknowledge receipt of the standard KYC documents (Mandatory and Non-mandatory) set from you:-

1. Rights and Obligations of Stock Broker and Clients
2. Rights and Obligations of Member, Authorised Person and Clients
3. Risk Disclosure Document (RDD) of securities and commodity market
4. Rights & Obligation of Depository Participants & Beneficial Owner
5. Rights and Obligations of Stock Broker & Clients For Margin Trading Facility (MTF)
6. Guidance note on securities market- Do's and Don'ts for investors
7. Guidance note on commodity market- Do's and Don'ts for investors
8. Buglerock Capital Policies and Procedures
9. Additional Rights and Obligations of Stock-broker/Member/Authorised Person and Client.
10. Investor Charter for Stockbrokers, Depositories and Depository participants.
11. Authorisation to debit funds from client designated bank account to meeting fund or systematic SIPs.
12. Most Important Terms and Conditions (MITC ).
13. Handling Good Till Cancelled/Good Till Triggered Orders

I state that I have read and understood all above documents and these documents are binding upon me.

I also acknowledge receipt of following document.




1. Customer awareness document on PMLA

Thanking you,

Signature of the Client :

Date: .....

**Note:**The above mentioned standard set of KYC documents, which are part of the Stock broking and depository account opening kit is made available in our website <https://buglerock.asia/equitybroking/downloads-and-communications/> in 15 regional languages for your ease reference.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with relevant seal			

# Client Due Diligence

**Client Due Diligence Checklist**

**1. Client Categorization**

- Body Corporate    Banks    Trust    Mutual Fund    OCB    FII  
 CM    FI    Clearing House    Other (Specify) \_\_\_\_\_

**2. Confirmed that the Client has been verified against the SEBI debarred list.**

- Yes    No

**3. Confirmed that the Client has been verified against the UN Sanctions list.**

- Yes    No

**4. The identity of the client does not match with those in the SEBI debarred list or the UN Sanctions list.**

- Does not Match    Does Match (tick whichever is applicable)

**5. Action taken if the name is found matching**

.....  
 .....  
 .....

**6. Source of Funds / Income Verification**

- Salary    Business Income    Inheritance    Investment Returns    Others: \_\_\_\_\_

Documents Verified:  ITR    Bank Statement    Form 16    Others: \_\_\_\_\_

**7. Client Background / Reputation Risk**

- No adverse news found in public domain

- Adverse media alerts found and escalated

Details of verification / news source: \_\_\_\_\_

<b>Name of Verifying Employee</b>	
<b>Employee Code</b>	
<b>Date Verified</b>	
<b>Signature</b>	

**Compliance Sign off:** - \_\_\_\_\_