### **Trading and Demat Account Opening Form - Non Individual**

Form No	Client Code
Client Name	
PM / SM Name	

# BügleRock

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



### 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.



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

### 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: <a href="mailto:helpdesk@buglerock.asia">helpdesk@buglerock.asia</a>

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

### **Investor Grievance Redressal Mechanism**

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

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: <a href="https://smartodr.in/login">https://smartodr.in/login</a>.

### 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				
Sr. No	Name of the Document	Brief Significance of the Document	Pg No's		
	SECTION-A - MANDA	TORY DOCUMENTS AS PRESCRIBED BY SEBI AND EXCHANGES			
1	Checklist	Document captures the checklist of documents to be collected for respective accounts	5-14		
2	Instruction	Document captures the instruction / checklist for filling KYC Form	15		
3	Consent Form	Download Consent Form	18-19		
4	Account Opening Form Trading & Demat Account	CKYC and KRA form - Document captures the basic information about the constituents	21-29		
	related details	Additional information about the constituent relevant to trading & Demat Account	31-39		
5	Trading Related	Most Important Terms and Most Important Terms and Conditions (MITC)	41-42		
		Good Till Cancelled/Good Till Triggered Orders	43-44		
		Facility provided to clients for voluntary freezing/blocking	45-46		
		Online trading account			
6	Tariff Sheet - Trading	Document detailing the rate/amount of brokerage and other charges levied on the client for trading	48-50		
		on the stock exchange(s)			
7	Tariff Sheet – Demat	Document detailing the tariff/charges levied on the Client	51-52		
8	FATCA / CRS Declaration	FATCA Declaration for where the client holds tax residency	54-61		
	,	STANDARD DOCUMENTS			
9	Rights & Obligations of Beneficial Owner	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and			
	& Depository Participant	Depositories.	ydc		
10	Rights & Obligations of Stock Brokers, Sub-Broker	Document stating the Rights & Obligations of stock broker / trading member, sub-broker and	t cc		
	& Clients	client for trading on exchanges (including additional rights & obligations in case of internet /	ien		
		wireless technology-based trading).			
11	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	the		
12	Guidance note	Document detailing do's and don'ts for trading on the exchange, for the education of the investors.	Included in the client copy		
13	Policies and Procedures	Documents describing significant policies and procedures of o3 Securities related to the Trading	lude		
		Account of the client.	Inc		
14	Do's and Don'ts for the Investors	Document detailing do's and dont's for trading on exchange, for the education of the investors.			
		UMENTS - AS PROVIDED BY STOCK BROKER/ DEPOSITORY PARTICIPANT			
12	Demat Debit and Pledge Instruction (DDPI)	DDPI provided to broker to facilitate payin of securities and other authorizations.	63-64		
	Authorisation	DDPI to be signed by all the members of HUF [Applicable in case of HUF Client]	65		
13	Authorisation Letter	Authorisation for Receipt of Contract Notes and Other documents in Digital Mode	66		



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		Availing BSE StAR MUTUAL FUND System Facility	70
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	Technology	Internet Trading - Terms and Conditions	74-75
15	PMLA Guidelines	Document to increase Client awareness of Anti Money Laundering provisions.	77-79
16	Declaration With Respect To Legitimate Source Of Funds	Declaration With Respect To Legitimate Source Of Funds	80
17	Declaration of Beneficial Owners	Format of Declaration of Beneficial Owners (Required as per SEBI Circular no. cir/mirsd/2/2013 dated January 24, 2013)	81-85
18	Declaration Form of Non-Profit Organization (NPO)	Declaration Form of Non-Profit Organization (NPO)	86
		(Mandatory for Trusts/Society)	
19	Terms & Conditions cum Registration form for receiving SMS Alerts from Depository	Terms and Conditions-cum-registration / Modification form for receiving SMS Alerts from CDSL.	88-91
20	Basic Service Demat Account	Basic Service Demat Account	93-94
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22	Option Form for Issue of DIS Booklet	Option Form for Issue of DIS Booklet	107
23	Acknowledgement of receipt of KYC documents	Acknowledgement of receipt of KYC documents	109



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)	
<ul> <li>Registration Certificate / Certificate of in Corporation</li> <li>Telephone/electricity bill in the name of company (not more than 2 months old)</li> <li>Registered lease/sale agreement(only if client has a correspondence address)</li> </ul>	
Bank Proof (any 1 of the following)	
<ul> <li>Bank account statement/passbook in the name of company (not more than 2 months old)</li> <li>Cheque leaf(client name,a/c no., MICR &amp; IFSC should be printed)</li> <li>Bank verification letter</li> </ul>	
Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives segmen	t)
<ul> <li>ITR copy for latest financial year</li> <li>Bank a/c statement (not more than 6 months old)</li> <li>Demat a/c holding statement (not more than 3 months old)</li> <li>Net worth certificate for the latest financial year</li> </ul>	
Mandatory company documents (all have to be submitted)	
<ul> <li>Company incorporation certificate</li> <li>Board resolution signed by 2 directors or 1 MD/company secretary and should include: <ol> <li>Date &amp; place of passing</li> <li>Mode of operation - jointly or severally</li> <li>Name of the person authorised to operate the a/c.</li> </ol> </li> </ul>	
<ul> <li>Memorandum &amp; Article of Association signed by authorised person, investment clause must be mentioned.</li> <li>Share holding pattern including list of all those holding control, either directly or indirectly, in the companames of person holding senior management position should be attested by MD/company secretary/directly.</li> <li>Beneficial Owner Certificate - If any of the share holders is a non individual holding more than 10% of share the 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.</li> <li>If an individual has more than 10% shares in shareholding pattern of the company, then his/her PAN de</li> </ul>	iny, □ tor(s). iares □ y
<ul> <li>are required.</li> <li>List of all directors attested by authorised signatories</li> <li>Balance sheet of last 2 financial years</li> <li>Director Identification Number of directors</li> <li>Name change certificate, if name of the company has been changed</li> <li>Form 32, if names of directors are not mentioned in MOA/AOA</li> <li>Form 18, if company has changed address which is not mentioned in MOA/AOA. Proof of new address is also required</li> </ul>	
Another DP mapping(if submitted)	
<ul> <li>Client Master Report/ List in the name of company (not more than 3 months old)</li> <li>DP holding statement/ transaction statement in the name of company (not more than 3 months old)</li> </ul>	



### 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) ☐ Passport □ NREGA Job Card ☐ Driving license ☐ National Population Register Letter □ Voter ID □ E-KYC ☐ Offline verification ☐ Aadhar Authentication of Aadhaar ☐ 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) П Registration Certificate • Telephone/electricity bill in the name of partnership firm/unregistered trust (not more than 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 $\ \square$ be mentioned Partnership registration certificate • List of all Partners / Trustees / Beneficiaries / Settlors / 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)  $\square$ 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  $\square$ 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): $\square$ NREGA Job Card □ Passport ☐ Driving license ☐ National Population Register Letter □ Voter ID □ E-KYC ☐ Offline verification ☐ Aadhar Authentication of Aadhaar ☐ Registered lease/sale agreement (only if client has a correspondence address)

- 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

<sup>\*</sup>IPV/Documents verified with originals' stamp is required on all the documents. Important Notes



### Registered Trust Account

Documents required	✓ Against the document submitted
For Registered Trust (All the documents should be attested stamp)	ed by registered trust with rubber
NOTE: Trust has to be registered under Societies Register Trust Act, 1860/Bombay Public Trust Act 1950/Public Tru of Income Tax act, 1961.	
Address Proof (any 1 of the following):	
<ul> <li>Registration Certificate</li> <li>Telephone/electricity bill in the name of trust (not more the Registered lease/sale agreement (only if client has a correst</li> </ul>	•
Bank Proof (any 1 of the following):	
<ul> <li>Bank account statement/passbook in the name of trust (no</li> <li>Cheque leaf(client name,a/c no., MICR &amp; IFSC should be</li> <li>Bank verification letter</li> </ul>	•
Income Proof (any 1 of the following, to be submitted (segment)	only if client has opted for derivatives
<ul> <li>ITR copy for latest financial year</li> <li>Bank a/c statement (not more than 6 months old)</li> <li>Demat a/c holding statement (not more than 3 months old)</li> <li>Net worth certificate for latest financial year</li> </ul>	
Mandatory Documents (all have to be submitted)	
<ul> <li>Trust deed attested by all the authorised trustees, investme</li> <li>Trust registeration certificate</li> <li>List of all trustees / Beneficiaries / Settlors / Authors of Trusteries. Further list of all trustees to be given in specified</li> </ul>	rust attested by authorised $\Box$
<ul> <li>Balance sheet of last 2 years</li> <li>Trust resolution attested by all the trustees. Should mention 1. Date &amp; place of passing</li> <li>2.Mode of operation - jointly or severally</li> <li>3. Name of the person authorised to operate the a/c.</li> <li>KRA documents of trustees &amp; Authorised signatories</li> <li>Beneficial Owner Certificate - In case of Trust, if any of the Settlor whose share (either of profits or corpus of the trust) is or another artificial person, then the list of ultimate sharehol of the trust etc. along with their PAN details.</li> </ul>	beneficiaries / Trustees / Author / s more than 10% is a body corporate
Another DP mapping( if submitted)	
<ul> <li>Client Master Report/ List in the name of trust (not more to DP holding statement / transaction statement in the name)</li> </ul>	•



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):					
□ Passport	□ NREGA Job Card	☐ Driving license	☐ National Population Register Letter		
□ Voter ID □ E-KYC □ Offline verification □ Aadhar of Aadhaar					
☐ Registered lease/sa	ale agreement (only if client	: has a correspondence add	lress)		

- 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

<sup>\*</sup>IPV/Documents verified with originals' stamp is required on all the documents. Important Notes



	HUF Account			
Documents required		Č	the document submit	tted
For HUF (All the docum	nents should be attested b	by HUF with rubber stam	p)	
Address Proof (any 1 of	the following):			
• Registered lease/sale ag	greement (only if client ha	ot more than 2 months old as a correspondence addre f HUF (not more than 2 mo	ss)	
Bank Proof (any 1 of the	e following):			
	t/passbook in the name of $e_{,a}/c$ no. , MICR & IFSC $s$	f HUF (not more than 2 monday hould be printed)	onths old)	
Income Proof (any 1 of segment)	the following, to be su	bmitted only if client ha	s opted for derivativ	ves
• ITR copy for latest finar • Bank a/c statement (no	t more than 6 months old) ement (not more than 3 m			
<b>Mandatory Documents</b>	(all have to be submitted	<u> </u>		
Details/proof required     Name & sign on I mentioned)	-	rs need not sign, however t	their name has to be	
2. PAN details and a	address proof			
<ul><li> List of co-parceners</li><li> If father is the karta of the parceners</li></ul>	he family then only wife,	son and daughter will be o	considered as co-	
•	notarised death certificate	e and NOC of all co-parcer	ners is required	
	mp should be as per PAN	V card.		
Another DP mapping( i	f submitted)			
<u>.</u>	•	not more than 3 months old the name of trust (not more	•	
For Karta/individual co- rubber stamp)	-parceners (All the docum	nents should be attested l	y them without	
Photograph of Karta (Co Address Proof (any 1 of				
□ Passport	□ NREGA Job Card	☐ Driving license	☐ National Populat Register Letter	tion
□ Voter ID	☐ E-KYC Authentication	☐ Offline verification of Aadhaar	□ Aadhar	
□ Registered lease/sale	agreement (only if client !	has a correspondence addi	ress)	

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

- 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			he document submit	ted
For partnership firm(Al	l the documents should b	e attested by LLP with ru	abber stamp)	
Address Proof (any 1 of	the following):			
• Telephone/electricity b	/ Certificate of in Corpora ill in the name of partners greement (only if client ha	hip firm (not more than 2	•	
Bank Proof (any 1 of the	e following):			
	:/passbook in the name of e,a/c no. , MICR & IFSC sl	•	onths old)	
Income Proof (any 1 of segment	the following, to be sul	omitted only if client ha	s opted for derivativ	es
<ul><li>Demat a/c holding state</li><li>Net worth certificate for</li></ul>	t more than 6 months old) ement (not more than 3 m r latest financial year	onths old)		
Mandatory documents	(all have to be submitted)			
<ul><li>LLP registeration certifi</li><li>List of all LLP Partners</li></ul>	& names of person holdin			
<ul> <li>attested by authorised sig</li> <li>Balance sheet of last 2 fi</li> <li>Board resolution atteste</li> <li>1. Date &amp; place of p</li> </ul>	nancial years d by all the partners. It sh	ould have:		
<ul> <li>2. Mode of operation - jointly or severally</li> <li>3. Name of the person authorised by board to operate the a/c</li> <li>• 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 Individus shareholder once he/she is identified. If an individual has more than 10% share, then his/her PAN details a required.</li> </ul>				
Another DP mapping (i	f submitted)			
• DP holding statement/	List in the name of trust (n transaction statement in t	he name of trust (not more	e than 3 months old)	
•	(All the documents shou	Id be attested by them wi	ithout rubber stamp)	
Photograph of partners Address Proof (any 1 of				
□ Passport	□ NREGA Job Card	☐ Driving license	☐ National Population Register Letter	n
□ Voter ID	☐ E-KYC Authentication	☐ Offline verification of Aadhaar	□ Aadhar	
☐ Registered lease/sale	agreement (only if client l	nas a correspondence add	ress)	

- 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

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



Association of Persons Account				
Documents required For AOP (All the documents)	nents should be attested b		he document submi	tted
Address Proof (any 1 of	the following):			
_	oill in the name of partners greement (only if client ha	_	•	
Bank Proof (any 1 of th	e following):			
	<ul> <li>Bank account statement/passbook in the name of trust (not more than 2 months old)</li> <li>Cheque leaf(client name,a/c no., MICR &amp; IFSC should be printed)</li> <li>Bank verification letter</li> </ul>			
Income Proof (any 1 of segment	f the following, to be sul	omitted only if client ha	s opted for derivati	ves
• ITR copy for latest finandal Bank a/c statement (no	t more than 6 months old) ement (not more than 3 m	onths old)		
Mandatory documents	(all have to be submitted)			
<ul> <li>Agreement of AOP attested by all the authorised signatories, investment clause must be mentioned</li> <li>List of members of AOP attested by authorised signatories</li> <li>Balance sheet of last 2 financial years</li> <li>AOP resolution attested by all the members</li> <li>KRA page of all authorised AOP members</li> </ul>				
NOTE: Demat account ca	an be of minimum 1 or ma	aximum 3 holders		
Another DP manning (	if cubmitted)			
stamp)				
Photograph of AOP Members (Compulsory) Address Proof (any 1 of the following):				
□ Passport	□ NREGA Job Card	☐ Driving license	☐ National Population Register Letter	n
□ Voter ID	☐ E-KYC Authentication	☐ Offline verification of Aadhaar	□ Aadhar	
☐ Registered lease/sale	agreement (only if client h	nas a correspondence add	ress)	

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

- 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 A	Account	
Documents required	. 1 111	<u> </u>	the document submitted
	uments should be atteste	d by Society with rubber	stamp)
Address Proof (any 1 of	the following):		
- · · · · · · · · · · · · · · · · · · ·	ill in the name of partners greement (only if client ha	• •	•
Bank Proof (any 1 of the	e following):		
	/passbook in the name of e,a/c no. , MICR & IFSC sl	•	onths old)
Income Proof (any 1 of segment	the following, to be sul	bmitted only if client ha	s opted for derivatives
<ul> <li>ITR copy for latest finar</li> <li>Bank a/c statement (not</li> <li>Demat a/c holding state</li> <li>Net worth certificate for</li> </ul>	t more than 6 months old) ement (not more than 3 m clatest financial year	onths old)	
Mandatory documents	(all have to be submitted)		
• Bye laws of society attesmentioned	sted by all the authorised	signatories, investment cla	ause must be
• Society registeration cer	tificate		
• List of committee memb	pers attested by authorised	l signatory	
1.Date & place of passing	ed by all the committee m	nembers. It should have:	
2.Name of person authori	_		_
• Require KRA of all the o	committee members		
NOTE: Demat account ca	n be of minimum 1 or ma	aximum 3 holders	
Another DP mapping (i	f submitted)		
• DP holding statement/	List in the name of trust (n transaction statement in the	he name of trust (not more	e than 3 months old)
	rs (All the documents sho	•	without rubber stamp)
Photograph of Committ Address Proof (any 1 of	ee Members (Compulsor the following):	y) 	
□ Passport	□ NREGA Job Card	☐ Driving license	☐ National Population Register Letter
□ Voter ID	☐ E-KYC Authentication	☐ Offline verification of Aadhaar	□ Aadhar
☐ Registered lease/sale	agreement (only if client b	nas a correspondence add	ress)

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

- Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
   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 8th 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										
PMS Code allotted to the Client:										
Documents Verified with Originals  Client Interviewed By Verification done by										
Name of the Employee										
Employee Code										
Designation of the Employee										
Branch Code										
Branch Name										
Branch State Date										
Signature										
- Organicare										
I / We undertake that we have made the non-mandatory documents. I/We have a (s), RDD, 'Do's and Dont's' and Guidance I/We undertake that any change in the documents would be duly intimated to to Obligations' and RDD would be made as	also made the client ave Note. I/We have give 'Policy and Proceduche clients. I/We also	vare of the 'Rights and Oble en/sent him a copy of all the ares', tariff sheet and all the undertake that any chang	ligations' document he KYC documents. the non-mandatory to in the 'Rights and							
KRA Registrati	on Details (For Off	ice Purpose Only)								
If Client is already registered with KRA/CF	CYC please fill in below	details:								
□NDML □CKYC □CVL □ DOT	TEX Dothers (Pleas	e Specify)								
(Please furnish photocopy of KRA Registr	ation letter)									
KRA Registration No.:	CKYC Reş	gistration No.:								
Date of Registration:///										
Date of Registration://// Note: If any change in the current/existing K	YC record, Broking/ D	P will carry out fresh CKYC	and KRA							
		For BugleRock Capital F	Private Limited							
		Authorised Sigr	natory							



### **Consent Form**



### **Download Consent Form**

### CENTRAL KYC RECORDS REGISTRY

Date: Contember 20, 2022
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
************************
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.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with			
relevant seal	1	1	1



## COMMON APPLICATION FORM FOR TRADING AND DEMAT ACCOUNT



#### 'CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/ Other than Individuals Important Instructions: A) Fields marked with '\*' are mandatory fields. F) List of State / U.T code as per Indian Motor Vehicle Act,1988 is available at the end. B) Tick 'V' wherever applicable. G) List of two character ISO 3166 country codes is available at the end. C) Please fill the date in DD-MM-YYYY format. H) Please read section wise detailed guidelines / instructions at the end. D) Please fill the form in English and in BLOCK letters. I) For particular section update, please tick ( $\checkmark$ ) in the box available before the section number and strike off the sections not required to be updated. E) KYC number of applicant is mandatory for update application. For office use only Application Type\* ☐ Update □ New (To be filled by financial institution) KYC Number (Mandatory for KYC update request) ☐ 1. ENTITY DETAILS\* (Please refer instruction A at the end) □ Name\* (Please refer instruction B at the end) Entity Constitution Type\* Date of Commencement of Business D D -Date of Incorporation / Formation\* Country of Incorporation / Formation\* TIN or Equivalent Issuing Country Place of Incorporation / Formation\* Form 60 furnished TIN / GST Registration Number 2. PROOF OF IDENTITY (Pol)\* (Please refer instruction **B** at the end) Officially valid document(s) in respect of person authorised to transact Regn Certificate No. Certificate of Incorporation / Formation Registration Certificate ☐ Trust Deed Partnership Deed Memorandum and Articles of Association Resolution of Board / Managing Committee

Activity Proof - 1 (For Sole Proprietorship Only)	Activity Proof - 2 (For Sole Proprietorship Only)
—	· · · · · · · · · · · · · · · · · · ·
3. ADDRESS* (Please see instruction <b>C</b> at the	
3.1 Registered Office Address / Place of Busines	ss*
Proof of Address*	prporation / Formation Registration Certificate Other Document
Line 1*	
Line 2	
Line 3	City / Town / Village*
District*	PIN / Post Code* State / U.T Code* ISO 3166 Country Code*
3.2 Local Address in India (If different from Above	ve)*
Line 1*	
Line 2	
Line 3	City / Town / Village*
District*	PIN / Post Code* State / U.T Code* ISO 3166 Country Code*
4. CONTACT DETAILS (All communications will	be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction <b>D</b> at the end)
T-1 (Off)	FAY
Tel. (Off)	FAX
Mobile — — — — — — — — — — — — — — — — — — —	Email ID
Mobile	Email ID
5. NUMBER OF RELATED PERSONS	(Please refer instruction <b>E</b> at the end)



6. REMARKS (If a	ny)																						
7. APPLICANT DECLARATION (Please refer Instruction G at the end)																							
I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.  I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above																							
registered number/emai			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		0			o a g.		 	 												
Date: DD — MI	Date: DD D MM M - Y Y Y Y Place: Signature / Thumb Impression of Authorised Person(s)																						
8. ATTESTATION	8. ATTESTATION / FOR OFFICE USE ONLY																						
Documents Received	Certified C	Copies	☐ Eq	uivaler	nt e-c	docun	nent																
KYC	VERIFICATION	I CARRIE	D OUT E	3Y								11	NST	ITU	TIO	N D	ETA	ILS					
Identity Verification	☐ Done	Date	D — M	M -	Y	ΥΫ́	Υ	Nan	-	Ţ		1		Ţ						Ţ			
Emp. Name Emp. Code								Coc	le [			_		_					Ш	_	_		
Emp. Designation																							
Emp. Branch														[In									
	[Employee	Signature]																					

### CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form

- Clarification / Guidelines for filing Entity Details section
  - 1 Entity Constitution Type

A - Sole Proprietorship

B - Partnership Firm

C - HUF

D - Private Limited Company

F - Society

E - Public Limited Company

H - Trust I - Liquidator O - Artificial Jurisdical Person

P - International Organisation or Agency /Foreign

Embassy or Consular Office etc.

Q - Not Categorized

R - Others

M - Central/State Government Department or Agency S - Foreign Portfolio Investors

G - Association of Persons (AOP) / Body of Individuals (BOI) N - Section 8 Companies (Companies Act, 2013)

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entitities, FORM 60 may be obtained if PAN is not available.

L - Public Sector Banks

- Clarification / Guidelines for filling 'Proof of Identity[Poll' section
  - Activity Proof 1 and Activity Proof 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.

J - Limited Liability Partnership

K - Artificial Liability Partnership

- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.
- Clarification / Guidelines for filling 'Proof of Address [PoA]' section
  - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
  - Certified copy of document or equivalent e-document to be submitted.
- Clarification / Guidelines for filling 'Contact Details' section
  - Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-999999999)).
  - Do not add '0' in the beginning of Mobile number.
- Clarification / Guidelines for filling 'Related Person Details' section
  - - · The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected
  - Proof of Address [PoA]
    - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
    - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
    - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
    - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
  - If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required. 3
  - Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- Provision for capturing signature of multiple authorised persons is to be made by the RE.



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

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

### List of ISO 3166 two digit Country Code

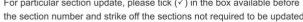
List of 100 Two two digit country dode									
Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code		
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miguelon	PM		
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC		
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS		
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM		
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST		
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA		
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN		
Anguilla	Al	Ethiopia	ET	Malawi	MW	Serbia	RS		
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC		
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL		
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG		
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX		
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK		
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI		
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB		
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	so		
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA		
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS		
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS		
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES		
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK		
	BE BE	Gibraltar	GI		MN		SD		
Belgium				Mongolia		Sudan			
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR		
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI		
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ		
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE		
Bolivia, Plurinational State of	ВО	Guam	GU	Myanmar	MM	Switzerland	CH		
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Nambia	NA	Syrian Arab Republic	SY		
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	MZ	Taiwan province of china	TW		
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ		
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ		
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH		
British Indian Ocean Territory	10	Haiti	HT	New Zealand	NZ	Timor-Leste	TL		
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG		
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK		
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO		
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT		
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN		
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR		
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM		
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC		
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV		
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG		
Chad	TD	Ireland	ΙE	Palestine, State of	PS	Ukraine	UA		
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE		
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB		
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US		
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM		
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY		
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ		
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU		
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE		
Cook Islands	CK	Kenva	KE	Puerto Rico	PR	Viet Nam	VN		
Costa Rica	CR	Kiribati	KI	Qatar	OA	Virgin Islands, British	VG		
Cote d'Ivoire ICote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Reunion	RE	Virgin Islands, British Virgin Island, U.S.	VI		
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF		
	CU		KW		RU	Western Sahara	EH		
Cuba		Kuwait		Russian Federation					
Curacao ICuracao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE		
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint BartheJemy	BL	Zambia	ZM		
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW		
Denmark	DK	Lebanon	LB	Saint Kittsand Nevis	KN				
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC				
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF				

### Annexure A2 | Legal Entity / Other than Individuals

### CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

#### Important Instructions:

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





application.		the section numbe	r and strike off the section	ns not required to be u	ıpdated					
For office use only	Application Type	e* ☐ New ☐ Update	e 🗆 Delete							
(To be filled by financial in	stitution) KYC Number			(Mandatory for h	KYC update and delete request)					
1. DETAILS OF RELATED	PERSON* (Please refer	instruction <b>E</b> at the end)								
☐ Addition of Related Per		☐ Deletion of Re	elated Person		Update Related Person Details					
KYC Number of Related P	erson (if available*)		If KYC number is a	vailable, only 'Related F	Person Type' & 'Name' is mandatory					
Related Person Type*	☐ Director ☐ Promoter☐ Beneficiary ☐ Authorised		Partner	pointment Official Attorney Holder	<ul><li>□ Proprietor</li><li>□ Other (Please specify)</li></ul>					
DIN (Director Identification			ndatory if Related Pers							
1.1 PERSONAL DETAILS (Please refer instruction E at the end)										
		Name	Middle Nan	ne	Last Name					
Name* (Same as ID proof)										
Maiden Name						+				
Father / Spouse Name						$\pm$				
Mother Name										
Date of Birth*	D D - M M - Y Y	YY								
Gender*	☐ M- Male ☐ F- F	emale T-Transgender								
Nationality*	☐ IN- Indian ☐ Othe	ers (ISO 3166 Country Code	e 🔲 )							
PAN*			Form 60 furnishe	d						
	AND ADDRESS* (Please									
	valent e-document of OVD or OV	D obtained through digital KYC pi	rocess needs to be submitte	ed (anyone of the follov	ving OVDs)					
☐ A- Passport Number					□ РНОТО*					
☐ B-Voter ID Card										
☐ C- Driving Licence										
☐ D-NREGA Job Card										
☐ E- National Population	n Register Letter									
☐ F - Proof of Possession	n of Aadhaar									
II □ E-KYC Authentication										
III Offline verification of A	adhaar									
Address										
Address										
Line 1*										
Line 2 Line 3				City / Town / Village	*					
District*	Dir	/ Post Code*	State / U.T		ISO 3166 Country Code*					
	ESS DETAILS (Please refe		State / G.1	0000	100 0100 Country Couc					
	address (In such cases address of		: .dd\							
	uivalent e-document of OVD or C			itted (anyone of the foll	owing OVDs)					
☐ A- Passport Number		0 0		,	,					
☐ B-Voter ID Card										
□ C- Driving Licence										
□ D-NREGA Job Card										
D MILEO/ (GOD GOI'G	Pogistar Latter									
E Matterial Population			]							
F - Proof of Possession	n ot Aadnaar									
II E-KYC Authentication										
II ☐ Offline verification of A	adhaar	XXXXXX								
IV ☐ Deemed PoA										
V ☐ Self Declaration										

						BügleRock
Address						(Formerly known as o3 Securities Private Limiter
Line 1*						
Line 2						
Line 3				City / Tov	wn / Village*	
District*		Pin / Post Code*	State	e / U.T Code*	ISO 3	166 Country Code*
1. 4 CONTACT DETAIL	S (All communication will be	e sent on provided mobil	e no. / Email-ID) (Please	e refer instruction	n <b>D</b> at the end)	
Tel. (Off) Email ID		Tel. (Res)		Mo	bbile	
2. APPLICANT DECLA	RATION					
undertake to inform you o misleading or misreprese	he details furnished above and fany changes therein, immediate nting, I am aware that I may be he ceiving information from Central address.	ely. In case any of the above i eld liable for it.	nformation is found to be fals			
Date: DD — MM	— <u>Y Y Y Y</u>	Place:			Signature /Thumb	Impression of Applicant
3. ATTESTATION / FOR	OFFICE USE ONLY					
Documents Received	<ul><li>☐ Certified Copies</li><li>☐ Digital KYC process</li></ul>		data received from UID/ ent e-document	I 🗌 IA	Data received fron	n Offline verification
KY	C VERIFICATION CARRIE	O OUT BY		INSTITU	JTION DETAILS	
Date	00-00-00-00		Name			
Emp. Name			Code			
Emp. Code						
Emp. Designation						
Emp. Branch						

Employee Signature]

[Institution Stamp]

### Annexure A2 | Legal Entity / Other than Individuals

### CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

### Important Instructions:

- A) Fields marked with '\*' are mandatory fields.
- B) Tick '√' wherever applicable.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please fill the form in English and in BLOCK letters.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- G) List of two character ISO 3166 country codes is available at the end.
- H) Please read section wise detailed guidelines / instructions at the end.



<ul> <li>E) KYC number of applicant is mandatory for up application.</li> </ul>		ection update, please tick ( $\checkmark$ ) in the box available ber and strike off the sections not required to b	
For office use only Appli	cation Type* ☐ New ☐ Upd	late   Delete	
(To be filled by financial institution) KYC N	umber	(Mandatory fo	or KYC update and delete request)
1. DETAILS OF RELATED PERSON* (PI	ease refer instruction <b>E</b> at the end)		
☐ Addition of Related Person	☐ Deletion of	Related Person	☐ Update Related Person Details
KYC Number of Related Person (if available	le*)	If KYC number is available, only 'Relate	d Person Type' & 'Name' is mandatory
a contraction of the second of	$ \begin{array}{cccc} Promoter & \square & Karta & \square & Trustee \\ Authorised Signatory & \square & Beneficial \end{array} $	$\square$ Partner $\square$ Court Appointment Official Owner $\square$ Power of Attorney Holder	
DIN (Director Identification Number)	(M	landatory if Related Person Type is Direc	tor)
1.1 PERSONAL DETAILS (Please refer in	struction <b>E</b> at the end)		
Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)			
Maiden Name			
Father / Spouse Name			
Mother Name			
Date of Birth*			
Gender* ☐ M- Male  Nationality* ☐ IN- Indian	<ul><li>☐ F- Female</li><li>☐ T-Transgende</li><li>☐ Others (ISO 3166 Country Co</li></ul>		
Nationality* IN- Indian PAN*	Unlers (150 3 166 Country Co	Form 60 furnished	
1.2 PROOF OF IDENTITY AND ADDRESS	S* (Please refer instruction E at the	A 05.000.000 (8.000.000.000.000.000	
I Certified copy of OVD or equivalent e-document of			llowing OVDs)
☐ A- Passport Number			*
□ B-Voter ID Card			□ РНОТО*
□ C- Driving Licence			
□ D-NREGA Job Card			
☐ E- National Population Register Letter			
☐ F - Proof of Possession of Aadhaar			
II			
III Offline verification of Aadhaar			
Address			
Line 1*			
Line 2		O'1- /T /Y/III	
Line 3	Pin / Post Code*	City / Town / Villa State / U.T Code*	ISO 3166 Country Code*
District*			13O 3100 Country Code
☐ 1.3. CURRENT ADDRESS DETAILS (F			
☐ Same as above mentioned address (In such ca			fallenties OVDs)
	t of OVD or OVD obtained through digital K	YC process needs to be submitted (anyone of the	following OVDs)
71 Tubbook Hambol			
☐ B-Voter ID Card			
☐ C- Driving Licence			
☐ D-NREGA Job Card			
☐ E- National Population Register Letter			
☐ F - Proof of Possession of Aadhaar			
II ☐ E-KYC Authentication			
II ☐ Offline verification of Aadhaar			
IV □ Deemed PoA			
V ☐ Self Declaration			

								BügleRock
Address								(Formerly known as o3 Securities Private Limited
Line 1*								
Line 2								
Line 3				(	City / Tow	n / Village*		
District*	Pin / Pos	st Code*		State / U.T C	ode*	IS	SO 3166 Coun	try Code*
1. 4 CONTACT DETAIL	<b>S</b> (All communication will be sent on	provided mobile no	o. / Email-ID) (F	Please refer in	struction	<b>D</b> at the end	)	
Tel. (Off) Email ID		el. (Res)			Mok	oile		
2. APPLICANT DECLA	RATION							
undertake to inform you o misleading or misreprese	ne details furnished above are true an fany changes therein, immediately. In case nting, I am aware that I may be held liable for ceiving information from Central KYC Regaddress.	any of the above inforr rit.	mation is found to	be false or un				
Date:	Place:					Signature /TI	humb Impressio	on of Applicant
3. ATTESTATION / FOR	OFFICE USE ONLY							
Documents Received	<ul><li>☐ Certified Copies</li><li>☐ Digital KYC process</li></ul>		a received from e-document	ı UIDAI		ata received	from Offline v	erification
KY	C VERIFICATION CARRIED OUT BY	/		1	INSTITU	TION DETAIL	_S	
Date	00-00-00-00-00-00-00-00-00-00-00-00-00-		Name					
Emp. Name			Code					
Emp. Code								
Emp. Designation								
Emp. Branch								
Linp. Dianon								

[Institution Stamp]

Employee Signature]



### Annexure A2 | Legal Entity / Other than Individuals

### CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

### Important Instructions:

☐ Self Declaration

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

app	olication.		the section num	ber and strike off the sections not required to b	e updated		
For off	or office use only Application Type* ☐ New ☐ Update ☐ Delete						
(To be filled by financial institution) KYC Number				(Mandatory fo	or KYC update and delete request)		
1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)							
			_	Related Person	☐ Undate Related Person Details		
	Addition of Related Person Update Related Person Details  WCC Number of Related Person (if available*)  WCC Number of Related Person (if available*)						
KYC Number of Related Person (if available*)							
Relate	ed Person Type*			☐ Partner ☐ Court Appointment Officia			
			Authorised Signatory   Beneficial		,		
DIN (I	Director Identification	n Number)	(N	landatory if Related Person Type is Direc	tor)		
1.1 PERSONAL DETAILS (Please refer instruction E at the end)							
		Prefix	First Name	Middle Name	Last Name		
Name'	(Same as ID proof)						
Maide	n Name						
Father	/ Spouse Name						
Mothe	r Name						
Date o	f Birth*	DD - MM	- Y Y Y Y				
Gende	er*	☐ M- Male	F- Female T-Transgende	er			
Nation	ality*	☐ IN- Indian	Others (ISO 3166 Country Co	ode 🔲)			
PAN*				Form 60 furnished			
1.2 PR	OOF OF IDENTITY	AND ADDRESS	* (Please refer instruction <b>E</b> at the	end)			
I Certif	ied copy of OVD or equi	valent e-document of	OVD or OVD obtained through digital KYO	process needs to be submitted (anyone of the fo	llowing OVDs)		
	A- Passport Number				□ РНОТО*		
	B-Voter ID Card						
	C- Driving Licence						
	D-NREGA Job Card						
	E- National Population	Register Letter					
		· - >					
	F - Proof of Possessio						
	E-KYC Authentication						
	Offline verification of A	Aadhaar	XXXXXXXX				
Addres	s						
Line 1*							
Line 2							
Line 3				City / Town / Villa	age*		
District*			Pin / Post Code*	State / U.T Code*	ISO 3166 Country Code*		
					• —		
□ 1.3	. CURRENT ADDRE	ESS DETAILS (P	lease refer instruction <b>E</b> and the en	d)			
			es address details as below need not be p				
I Cei		uivalent e-document	of OVD or OVD obtained through digital K	C process needs to be submitted (anyone of the	following OVDs)		
	A- Passport Number						
	B-Voter ID Card						
	C- Driving Licence						
	D-NREGA Job Card						
	E- National Population	Register Letter					
	F - Proof of Possession						
	E-KYC Authentication	reconstitute vegezanő 3 TO TOO					
	Offline verification of A	adhaar					
		auridai					
IV $\square$	Deemed PoA						

30

VIII. 250 31					BügleRock			
Address					(Formerly known as o3 Securities Private Limite			
Line 1*								
Line 2								
Line 3				City / Town / Village*				
District*		Pin / Post Code*	State / U.T C	lsO 3166 Cou	intry Code*			
1. 4 CONTACT DETAIL	S (All communication will b	pe sent on provided mobile no	o. / Email-ID) (Please refer in	struction <b>D</b> at the end)				
Tel. (Off) Email ID		Tel. (Res)		Mobile —				
2. APPLICANT DECLA	RATION							
<ul> <li>I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.</li> <li>I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.</li> </ul>								
Date:	— Y Y Y Y	Place:		Signature /Thumb Impress	sion of Applicant			
3. ATTESTATION / FOR	R OFFICE USE ONLY							
Documents Received	<ul><li>☐ Certified Copies</li><li>☐ Digital KYC process</li></ul>		a received from UIDAI e-document	Data received from Offline	verification			
KY	C VERIFICATION CARRIE	ED OUT BY		INSTITUTION DETAILS				
Date			Name					
Emp. Name			Code					
Emp. Code			_					
Emp. Designation								
Emp. Branch								

[Institution Stamp]

Employee Signature]



## 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						
☐ Trading Account only			☐ Trading Account and CDSL Demat Account			☐ CDSL Demat Account only						
Client ID (To be filled by Participant)												
Type of Demat Account	☐ Ordinary Resident		☐ Body Corporate	□ Banks		☐ Trust		□ FI	□ FII	□ ОСВ	☐ Mutual Fund	
	□СМ		□HUF	☐ Partnership				☐ Clearing House		Others (P	Others (Please specify	
Sub - Status					To	be fill	led by	the DI				
Type of Trading Account	□ Ord Reside:	-	☐ Body Corporate	□ Bank	□ Bank		rust	□FI	□ FII	□ОСВ	☐ Mutual Fund	
	□СМ		□ HUF	□ Partn	ership			Others (Please	s e specif	Y	•	
A. Name of the Applicant												
Trading Account Holder N	lame											
DD W 11 (DO) W		<b>6.1</b> (1)		D . II		1		II	<u> </u>	m)		
DP Holder (BO) Name	_	Sole/	First Holder	Details	Secon	nd Ho	lder I	Details		Third Holder Details		
B. Other Details												
SMS Alert Facility		(This	facility is ma	de mandat	orv to	regist	er DD	PI in dei	mat acc	ount.		
Refer to Terms &		(This facility is made mandatory to register DDPI in demat account. Ensure that the mobile number is provided in the KYC Application Form.)										
Conditions		MODILINO 04										
given as Annexure - 2.4		MOBILE NO. +91										
		□ Yes □ No										
			To register for easi, please visit our website www.cdslindia.com.									
		Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										
, _			Mobile				□ Yes				□ No	
also used by its Authorise Signatory/Director/Trust Partner/Karta in his perso account with BugleRock Capital:	ee/	Email					□ Yes			□ No		
Capitai.				If yes,	specify	7						
Mobile No				11 y C3,	-peerly	•						
Email id												



Name of Authorised Signatory								
Auth Sig PAN No								
Name of Director*								
Director's PAN								
Name of Trustee*								
Trustee PAN								
Name of Partner*								
Partner's PAN								
Name of Karta*								
Karta's PAN								
* According to the applicant type	i.e.; Corporate, Trus	t, Partnership, HUF	etc					
Please tick,	☐ Politically Expose	ed Person (PEP)						
if applicable	☐ Related to a Polit	ically Exposed Perso	n (RPEP)					
	☐ Not Applicable							
<b>Gross Annual Income</b>	☐ Below 1 Lac							
Details (please specify)	☐ 1-5 Lac							
Income Range per annum	☐ 5-10 Lac							
	□ 10-25 Lac							
	□ 25-50 Lac							
	□ 50 Lacs to 1 Crore							
	☐ 1-5 Crore							
	☐ 5-10 Crore							
	□ > 10 Crore							
Net-worth as on date (should	D	D	M	M	Y	Y	Y	Y
not be older than one year)								
Source of Funds (Please ensure	☐ Salary Income							
to select at least one) (applicable for trading account	☐ Professional Inco	ome						
holder or first holder in case of	☐ Business Income							
DP only a/c.)	☐ Rental Income							
	☐ Fixed Deposits							
	☐ Agricultural Income							
	☐ Sale of Assets							
	☐ Dividend Income							
	□ Loans							
	□ Gifts							
	☐ Ancestral Property							
	Others: (pls specify)							
D ( ) 1 (D )	4) P. C		 T					•
Professionals /Business Details*	1) Profession/Business Name:							
(applicable if professional	2) If Business, type of Business Activity:							
Income/ Business Income								
above is selected)								
Goods & Service Tax No.								



C. STANDING INSTRUCTIONS							
I / We instruct the DP to receive each and every credit in	□ Yes	□ No					
my / our account (If not marked, the default option							
would be 'Yes')							
I / We would like to instruct the DP to accept all the	☐ Yes	□ No					
pledge instructions in my /our account without any other							
further instruction from my/our end (If not marked, the							
default option would be 'No')							
Account Statement	☐ As per SEBI Regulation ☐	☐ Daily ☐ Weekly ☐Fortnightly					
	□Monthly						
I / We request you to send Electronic	□ Yes	□ No					
Transaction-cum-Holding Statement at the email ID							
I / We would like to receive the Annual Report	☐ Physical / ☐ Electronic /	/   Both Physical and Electronic					
(Tick the applicable box. If not marked the default option							
would be Physical)							
Account to be operated through DDPI (If yes, ensure	☐ Yes	□ No					
SMS alert facility is opted.)							
I / We would like to share the email ID with the RTA	☐ Yes	□ No					
I/We authorise you to send all communications/							
statements through the e-mail only*	☐ Yes	□ No					
I/ We request you to enable my / our Depository account	П.,,						
with Flag "Standing Instruction for Auto Pledge	☐ Yes	□ No					
Confirmation"							
I/ We wish to receive dividend / interest directly into my							
bank account through ECS (If not marked, the default	☐ Yes	□ No					
option would be 'Yes', only applicable for CDSL accounts).							
I/We would like to receive the copy of the KYC & Standard	☐ Physical Mode	☐ Electronic Mode*					
Documents: -	i i i i i i i i i i i i i i i i i i i	Electronic Mode					
I / We wish to receive dividend / interest directly in to my	☐ Yes	□ No					
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 ]							
Address for communication / Corporate Benefits	☐ Local/Permanent	☐ Correspondence Address/					
(Default option is Local Address)	Address	Foreign Address					
For Joint accounts, communication to be sent to:	☐ First holder	☐ All joint account holders. **					
Mode of Operations for Joint Accounts :							
Flour of operations for joint Accounts.	☐ Jointly	☐ Anyone of the holder or					
*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.							
**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.							
***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.							



D. Bank Details	D. Bank Details							
	Trading		Demat					
Bank A/c No.								
Bank Sub-type	☐ Savings Account		☐ Savings Account					
	☐ Current Account		☐ Current A	ccount				
	□ Others		□ Others					
Bank Name (Full name)								
Bank Branch Address	Building/Tower/Apartment/Palace/	/	Building/Tov	wer/Apartme	ent/Palace/			
(Write as per the	Chamber/Mansion		Chamber/Ma	nsion				
manner described)	Street/Road/Marg/Lane/Avenue/Ra	asta	Street/Road,	/Marg/Lane/	/Avenue/Rasta			
	Area Name		Area Name					
	City Name		City Name					
	PIN CODE		PIN CODE					
MICR Number								
IFSC Number								
Name of Client								
as in Bank								
(i) Photocopy of the cancelle	ed cheque having the name of the acc	ount holder	where the che	que book is i	ssued, (or)			
(ii) Photocopy of the Bank S	tatement having name and address o	f the BO						
(iii) Photocopy of the Passb	ook having name and address of the I	30, (or)						
(iv) Letter from the Bank.								
➤ In case of options (ii), (iii	) and (iv) above, MICR code of the bra	anch should	be present / m	entioned on	the			
document.								
E. DEALINGS THROUGH AT	JTHORISED PERSON (AP)/OTHER	STOCK BRO	KERS/MEMBI	ERS				
If client is dealing	AP's Name:							
through the AP,	NSE SEBI Registration number/							
provide the following	AP Registration number							
	BSE SEBI Registration number/							
	AP Registration number							
	Registered							
	office address							
	Phone			Website				
Whether dealing with	Name of stock broker							
any other stock broker/	Client Code			Exchange				
AP/member (in case	Name of Member			Name of				
dealing with multiple				AP, if any				
stock brokers/members)	Client Code			Exchange				
provide details of all in	Details of disputes/dues pending	g from/						
a separate sheet	to such stock broker/AP/membe							



						former	rly known as <b>63 Securities Private Limited</b> )
F. DEP	OSITOR	Y ACCOUNT DETAILS					
(In case	e of other	r DP Account Holder, Demat 1	naster or recent holdin	ng statement	issued by	DP bearing name	of the client)
Depos	itory Pa	rticipant Name	Depository Name	Beneficia	ry Name	DP ID	Beneficiary ID
_	J	•	(NSDL / CDSL)				(BO ID)
			(NSDL / CDSL)				(BO ID)
			<u> </u>			I	<b>L</b>
G. PAS	T REGUI	LATORY ACTIONS					
Details	s of any	action/proceedings initia	ted/pending/ taken l	by			
-		change/ Commodity excha		rity			
		n by any court in India or a	_				
		nstituent or its Partners/p					
		norized persons in charge	of dealing in securiti	ies			
during	the last	t 3 years					
		FILE QUESTIONNAIRE &					
For Se	lf-Asses	sment Purposes Only - No	Advisory Services Re	endered			
Bugler	ock Cap	ital Private Limited is a SE	BI-registered Stock Bı	roker offerii	ng only ex	ecution services.	This questionnaire
is inter	nded sol	ely to help clients assess th	eir own risk tolerance	e. We do no	t offer inv	estment advice, 1	nodel portfolios, or
produc	ct recom	mendations under Stock B	roking License.				
We red	commen	d that you answer the ques	tionnaire without any	y inputs froi	n your Bu	ıgleRock Capital	Sales Representative
		(Pleas	se tick any 1 option a	mong those	presented	d)	
1 1/	1		Risk Asses		. : .1 C (1.	C-11	
-		anding of investments and	•			e following stater	
	·	ngle select, 1st option defa	• • • • • • • • • • • • • • • • • • • •			of your risk appe	
	A	I do not understand anyth	ning about		A		e comfortable losing
	D	investment products			- D	more than 109	
	В	I have fair knowledge of	-		В		e comfortable losing
		including managed solut				more than 25°	
	C	I understand complex pro	oducts also		C		mfortable losing
		(eg. Derivatives)				more than 10°	
		source of your income? (Sir	ngle select, no default		_	•	all financial portfolio,
manda	itory)					e the extent of you	ur current
	1	T		borro	wings:	1	
	A	Inheritance / Gift / Sale			Α	>50%	
	В	Interest & dividends on e	xisting investments/		В	10-50%	
		rental income					
	C	Salaried/ Self-employed/	professional income,	/ 🗆	C	0-10%	
regular business income/ Royalty							
Client categorization based on risk assessment and investment					f A	X 10 =	
objecti	ves ques	stionnaire:					
		o Cooro <-40		No o	f B	X 20 =	
		e - Score <=40					
		Score >40 -80		No o	f C	X 30 =	
☐ Agg	ressive -	- 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 F	PREFERENCE							
Please sign in tl	he relevant boxes w	where you wish to tr	rade. Ple	ease strike off the s	egmei	nt not chosen b	y you.	
-	Exchanges	NSE	NSE NSI		BSE		BSE	
-	All segments	Cash		F&O	Ca	sh	Mutual Fund	
	in equity							
Client	(Signature with	(Signature v	vith	(Signature with	(Si	gnature with	(Signature wit	
Signatures 🖙	relevant seal)	relevant sea	1)	relevant seal)	rel	evant seal)	relevant seal)	
		of segments/Mutua		· 		ENTS (For Dari	vatives Trading	
			ETAILS	☐ Copy of annua				
☐ Copy of ITR acknowledgement		☐ Bank account statement for last months	statement for last 6		I	☐ Copy of Form 16		
		☐ Salary slip	Salary slip		☐ Copy of demat account holding statement of assets		☐ Self declaration with relevant supporting documents	
☐ Any other rel substantiating o	levant documents wnership							
	difference betweer o values will be co	n Income / Networth nsidered	h declar	ed versus the corre	spond	ing proof prov	ided then the	
J. FATCA DECLA	DATION							
•								
Tick if applicab	le ∐ Residence for	tax purposes In jui	risdictio	on(s) out side India	l			
ADDITIONAL DI	ETAILS REQUIRED	(Mandatory only if	selectio	n is ticked)				
ISO 3166 Count	ry Code of Jurisdic	tion of Residence						
Tax identificati	on Number of equi	valent						
(If issued by jur								
Place/City of Bi								
ISO 3166 Count	ISO 3166 Country Code of Birth							



R. Additional Details   Whether you wish to receive Electronic Contract Note or Physical Contract Note (ECN)   Physical Contract Note							
Note or Physical Contract Note (ECN) please specify  If yes, Specify your Email Id  Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)  Month of the facility of internet trading/ wireless technology (please specify)  SM and email alerts to investors by stock exchanges, (Please tick whichever is applicable. If not ticked, assumed 'Not Required')  SM and email alerts to investors by stock exchanges, (Please tick whichever is applicable. If not ticked, assumed 'Not Required')  Not Required  For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trusted(es) etc., the name & Pan No  Persons (AOP) etc., should be mentioned below:  Name  Any other Information  LinvESTMENT/TRADING EXPERIENCE  Investment/Trading Experience    Quers in Capital Market   No prior experience  M. INTRODUCER DETAILS (optional)  Name of the Introducer  M. INTRODUCER DETAILS (optional)  Name of the Introducer    Quers in Capital Market   No prior experience    Quert in Capital Market   No prior experience   Quert in Capital Market   No prior experie	K. Additional Details						
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)  MS and email alerts to investors by stock exchanges, (Please tick whichever is applicable. If not ticked, assumed 'Not Required')  Both required					☐ Electronic Contract Note	(ECN)	☐ Physical Contract Note
trading/ wireless technology (please specify)  SMS and email alerts to investors by stock exchanges. (Please tick whichever is applicable. If not ticked, assumed Not Required)  For Partnership Firm, Unregistered Trust, Association of Persons (ADP) 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 (ADP) etc., should be mentioned below:  Name    Pan No	If yes, Specify your Email	d			Email Id		
SMS and email alerts to investors by stock exchanges, (Please tick whichever is applicable.   SMS   Email     Inot ticked, assumed 'Not Required'   Not Required   Not Requ					☐ Yes		□ No
exchanges. (Please tick whichever is applicable.   Both required   Both requir							
If not ticked, assumed 'Not Required'   Both required   Both r							
Not Required   Not				icable.	☐ Email		
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	ii not ticked, assumed Not Required )				☐ Both required		
name of the partner(s), trustec(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (ADP) etc., should be mentioned below:    Name					☐ Not Required		
Persons (AOP) etc., should be mentioned below:    Name	For Partnership Firm, Uni	egistered	l Trust	t, Associatio	n of Persons (AOP) etc., alth	ough the a	account is opened in the
Any other Information    Name     Pan No					PAN of the Partnership Firm	, Unregiste	ered Trust, Association of
Any other Information		l be ment	ioned	below:			
Investment/Trading Experience					Pan No		
No prior experience	Any other Information						
Name of the Introducer   Csurname   Csurna	L. INVESTMENT/TRADING	EXPERIE	ENCE				
M. INTRODUCER DETAILS (optional)  Name of the Introducer  Status of the Introducer  Status of the Introducer    Authorized Person	Investment/Trading Expe	rience		□□ Years	s in Capital Market	□ No prie	or experience
Name of the Introducer Status of the Introducer 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 Signature of the Introducer Status of the Introduce						•	•
Status of the Introducer							(3.5) 4.4. 3.7
Address of the Introducer  Phone Number Signature of the Introducer  N. OTHER DETAILS  Is the entity involved /providing any of the following services    Gaming / Gambling / Lottery Services   Yes   No (e.g. Casinos, betting syndicates)   Money Lending / Pawring   Yes   No ("No profit organisation: "Yes   No ("No profit organisation: "Yes   No ("No 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)  O. IN CASE OF FILS/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 Clearing Member Id  SEBI Registration Date  Trade Name  CM-BP-Id (to be filled up by		(			(Name)		(Middle Name)
Address of the Introducer  Phone Number Signature of the Introducer  N. OTHER DETAILS  Is the entity involved/providing any of the following services  Gaming / Gambling / Lottery Services   Yes   No Gaming / Gambling / Lottery Services   Yes   No Gaming / Gambling / Pawning   Yes   No Gaming / Pawning   Yes	Status of the Introducer	☐ Auth	☐ Authorized Person				
Address of the Introducer  Phone Number Signature of the Introducer  N. OTHER DETAILS  Is the entity involved/providing any of the following services  Gaming / Gambling / Lottery Services   Yes   No Gaming / Gambling / Lottery Services   Yes   No Gaming / Gambling / Pawning   Yes   No Gaming / Pawning   Yes							
Address of the Introducer  Phone Number  Signature of the Introducer  N. OTHER DETAILS  Is the entity involved/providing any of the following services  Gaming / Gambling / Lottery Services   Yes   No Gaming / For Foreign Exchange / Money Changer Services   Yes   No Gaming / Gambling / Lottery Services   Yes   No Gaming / Pawning   Yes		☐ Exist	☐ Existing Client				
Address of the Introducer  Phone Number  Signature of the Introducer  N. OTHER DETAILS  Is the entity involved/providing any of the following services  Gaming / Gambling / Lottery Services   Yes   No Gaming / For Foreign Exchange / Money Changer Services   Yes   No Gaming / Gambling / Lottery Services   Yes   No Gaming / Pawning   Yes		1					
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   Yes   No Gaming   Gambling   Lottery Services   Yes   No Gaming   Gambling   Lottery Services   Yes   No Gaming   Gambling   Pawning   Yes   No Woney Lending   Ye		☐ Othe	rs, plea	ase specify			
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   Yes   No Gaming   Gambling   Lottery Services   Yes   No Gaming   Gambling   Lottery Services   Yes   No Gaming   Gambling   Pawning   Yes   No Woney Lending   Ye	A 11 C.1						
Phone Number  Signature of the Introducer  N. OTHER DETAILS  Is the entity involved/providing any of the following services  Are you a Non-Profit Organisation:  Characteristic 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)  Trade Name  Trade Name  Pro Foreign Exchange / Money Changer Services   Yes   No    Gaming / Gambling / Lottery Services   Yes   No    Gaming / Gambling / Lottery Services   Yes   No    O. IN CASE OF FIIs/OCBS/OTGRANISATION:  When you a Non-Profit Organisation:  When you a Non-Profit Organisation that is registered as a trust or a society under the younge of the Companies Act, 1860 (21 of 1860) or any similar State legislation or a company registered under section 25 of the Companies Act, 1860 (21 of 1860) or any similar State legislation or a company registered under section 25 of the Companies Act, 1860 (21 of 1860) or any similar State legislation or a company registered as a trust or a society under the younge of your profit of y							
Signature of the Introducer  N. OTHER DETAILS  Is the entity involved/providing any of the following services  Gaming / Gambling / Lottery Services  (e.g. Casinos, betting syndicates)  Money Lending / Pawning  Are you a Non-Profit Organisation:  ("Yes   No ("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)  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  Clearing Member Id  SEBI Registration No.  SEBI Registration Date  Trade Name  CM-BP-Id (to be filled up by							
Introducer  N. OTHER DETAILS  Is the entity involved/providing any of the following services    For Foreign Exchange   Money Changer Services   Yes   No     Gaming   Gambling   Lottery Services   Yes   No     (e.g. Casinos, betting syndicates)     Money Lending   Pawning   Yes   No     Are you a Non-Profit Organisation:   Yes   No     ("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, 2013)  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 Date     Trade Name   CM-BP-Id (to be filled up by Cm-price   CM-price   CM-price   CM-							
N. OTHER DETAILS  Is the entity involved/providing any of the following services    For Foreign Exchange   Money Changer Services   Yes   No     Gaming   Gambling   Lottery Services   Yes   No     Are you a Non-Profit Organisation:   Whose   Lending   Pawning   Yes   No     Whose   Whose   Whose   Whose   Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose     Whose   Whose   Whose   Whose     Whose   Whose   Whose     Whose   Whose   Whose   Whose     Whose   Whose   Whose     Whose   Whose   Whose     Whose   Whose   Whose     Whose   Whose   Whose     Whose   Whose   Whose     Whose   Whose   Whose     Whose   Whose   Whose     Whose   W							
Is the entity involved/providing any of the following services    Yes   No     Caming / Gambling / Lottery Services   Yes   No     (e.g. Casinos, betting syndicates)     Money Lending / Pawning   Yes   No     Are you a Non-Profit Organisation:   Yes   No     ("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)  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     Clearing Member Id     SEBI Registration Date     Trade Name     CM-BP-Id (to be filled up by							
any of the following services  Gaming / Gambling / Lottery Services  (e.g. Casinos, betting syndicates)  Money Lending / Pawning  Are you a Non-Profit Organisation:    Yes		viding	For	Foreign Evel	hanga / Manay Changar Sar	vicos	□ Voc □ No
(e.g. Casinos, betting syndicates)   Money Lending / Pawning				0	· ,	vices	
Money Lending / Pawning	,						□ res □ no
Are you a Non-Profit Organisation:    Yes			٠. ٥				□ Vos □ No
("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)  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  Clearing Member Id  SEBI Registration No.  SEBI Registration Date  Trade Name  CM-BP-Id (to be filled up by	Are you a Non-Profit Org	nication			/ Lawining		□ Tes □ INO
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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  Clearing Member Id  SEBI Registration No.  SEBI Registration Date  Trade Name  CM-BP-Id (to be filled up by							
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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	· -						
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Trade Name CM-BP-Id (to be filled up by	Clearing Member 1d				Ÿ .		
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#### **O. 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.

Name of Trading Account Holder

Authorised person signature	s along with relevant seal:	
	S (Enclose a Board Resolution for A	uthorised Signatories).
In case of HUF details of Karta	to be given)	
Sole/First Holder	Name	Signature(s)
First Signatory/Karta of HUF		
3,		☞(Full signature required along with relevant seal)
Second Signatory		☞(Full signature required along with relevant seal )
Third Signatory		(Full signature required along with relevant seal )
Other Holders		<u> </u>
Second Holder		<b>☞</b> (Full signature required along with relevant seal )
Third Holder		☞(Full signature required along with relevant seal )



T. L	IST OF FAMILY MEMBE	ERS (Copa	rcener) (Separa	te Annexure maybe ı	used in case number of members is higher)		
Sr N	o Name of Coparcener/	Gender	Date of Birth	Relation with Karta	Whether Coparcener/Member		
	Member				(please specify)		
1							
2							
3							
4							
5							
MOI	DE OF OPERATION FOR	R SOLE/FII	RST HOLDER	(In case of joint hold	ings, all the holders must sign.		
n ca	se of HUF this is not app	licable)					
∃Ar	ny one singly						
□ Joi	intly by						
٠.	1						
⊥ As	per resolution						
۰ ۵	hers (please specify)						
Note:	1 1						
		atures sen	arate annexure	s should be attached t	o the application form		
	0						
	Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magis						
	Client must ensure the confidentiality of the password of the email account.						
	Client must promptly inform the Participant if the email address has changed.						
	<ul> <li>Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also termin</li> </ul>						
	this facility by giving 10 days prior notice.						
П	Strike off whichever is not applicable						

Place:

Date:

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# 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.



#### 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'.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures			
along with			
relevant			
seal		3	3



# 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.



# 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.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with			
relevant seal	1	1	1



# 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 <a href="https://trade.buglerock.asia/investor-entry-level/login">https://trade.buglerock.asia/investor-entry-level/login</a> 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 <a href="mailto:stoptrade@buglerock.asia">stoptrade@buglerock.asia</a>

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

	Timelines for issuing acknowledgement as well as freezing/ blocking of the online access of the trading account.
Request received during the trading hours1 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.



# 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.

- 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 reenablement 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 <a href="mailto:helpdesk@buglerock.asia">helpdesk@buglerock.asia</a>

# Reference:

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

	Authroised Signatory	<b>Authroised Signatory</b>	Authroised Signatory
Name			
Signatures along with relevant			
seal	4	4	4



# Tariff Sheet



# TARIFF SHEET - MANDATORY

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

*EQUITY CASH SE	GMENT					
Offline				Online (Not applicable for NRI clients)		
Delivery Brokerage	Daily Volume	Intraday Brokerag	je	Delivery Brokerage	Intraday Brokerage	
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%				
*DERIVATIVE SEG	MENT					
Stock Futures		Index Futures		Brokerage for physical derivatives shall be sar delivery segment.		
0-25 Lac	0.05%	0-10 Lac	0.05%	Futures	Equity Options (Lot wise for Stock Index)	
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%	Minimum Brokerage of Online trades.		
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.		
Options (Lot wise)				Minimum Brokerage of derivative segment trades.		
Intraday Carry Forward			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 onl trade whichever is higher.		s 100 per lot for per lot for online	

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# TARIFF SHEET - MANDATORY

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

Minimum Brokerage of Offline trades.	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.	SCHEDULE OF CHARGES FOR NRI CLIENTS: Separate sheet attached
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.

Statutory Charges (Applicable to Offline and Online Clients as the case may be)				
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				

<sup>\*</sup>All charges are exclusive of taxes, Levies and other statutory charges

*Miscellaneous Charges				
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 Rs 20/-				
Physical contract note				
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 <a href="https://trade.buglerock.asia/login">https://trade.buglerock.asia/login</a>. 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 Equit 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 / C	. , , , , , , , , , , , , , , , , , , ,			
5	Margin Pledge (Creation / Ir		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		Funds Rs 30/- per request	+ CDSL actuals, Currently	
	Mutual Funds/Redemption of Mutual Fund units	Rs 5.50/- per request in G Redemption of Mutual F Currently Rs 5.50/- per r	und units Rs 30/- per reque	est CDSL actuals,	
9	Reissuance of Delivery Instru	iction Booklet (DIB)	Rs.75/- per booklet		
10	Mailing Charges Courier /	Inland Address	Rs.35/- per request		
	Postal Charges only (Adhoc Statement)	Foreign Address	Rs.500/- per request		
11	Annual Maintenance Charges		AMC Holding Value		
	O	AMC - BSDA	*** NIL	0 to 4,00,000	
		Demat Account	*** Rs 100 p.a. 4,00,001 to 10,00,00		
			*** 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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Name			
Signatures along with			
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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.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along			
with			
relevant			
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# FATCA/CRS Declaration



# 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 A										
Pan No										
Date of Incorporation	D	D	M	M	Υ	(	Y	Y	Y	
	T									
Name										
Address Type [for KYC	☐ Reside									
address]	☐ Reside	ntial / Bu	siness							
	□ Registe	ered Office	e							
	☐ Busine	ss								
Place of Incorporation			Coun	try	of					
			Incor	poration						
Gross Annual Income	☐ Below	1 Lakh					Foreign	Exchang	e / Moı	ney
Details in INR	□ 1-5 Lac	es	Is		ntity	Chai	nger Serv	rices		
	□ 5-10 La	acs	invol		/		Gaming	/ Gambli	ng / Lott	ery
	□ 10-25 I	Lacs		ding any		Serv				
	□ 25 Lac	s - 1 Cr	the	follow	ving	_		betting sy		
	□ > 1 Cro	ore	servi	ces		$\Box$ Mo	•	ndering /	U	
							Others	[Plea	se spec	ify]
Net Worth in INR. In Lacs										
Net Worth as of	dd-mm-y	ууу								
Are the Promotores,	□ Yes		Any	0	ther					
Directors, Partners,	□ Related	1 to PFP		mation						
Trustees, Politically	□ Not A <sub>1</sub>		[if ap	[if applicable]			[Please specify]			
Exposed Person [PEP]		pricable						1	<i>y</i> =	
Is "Entity" a tax resident of a	ny country	other tha	n India –	□ Yes □ N	No					
(If "Yes", please provide cour	ntry/ies in	which the	entity is	a resident	for ta	x pur	pose and	l the assoc	iated TIN)	
S. No. Country of	Tax Ta	x Payer		fication	Num	iber/	Identif	ication Ty	pe	
Residency	Functional Equivalent / Company [TIN or other, please specify]					y]				
	Identification Number or Global Entity									
	Ide	entification	n Number	•						
1										
2										
In case the Entity"s Country	of Incorpo	ration / T	ax Reside	ence is US	, but	Entity	y is not a	Specified	US person	١,

mention Entity"s exemption code here \_\_\_\_\_ (Refer Instructions o)



# 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] **GIIN** (Global Intermediary Identification Number): We are a ☐ Financial Institution / FFI [refer instructions a.] **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 ☐ Direct Reporting NFFE [refer name below instructions b.] Name of the sponsoring entity **GIIN not available** [tick anyone]: ☐ Applied For □ Not required to apply for – specify sub-category code $\Box\Box$ (refer instruction c.) □Not obtained - Non-participating FFI Part C [Fill any one as applicable - to be filled by NFEs other than Direct Reporting NFFEs] Is the entity is a listed company [whose shares are □ No regularly traded on a recognized stock exchange] □ Yes [refer instructions d.] (If Yes, Please specify any one Stock Exchange on which the stock is traded regularly) Name of the Stock Exchange Is the entity a "Related Entity" of a listed company П № [whose shares are regularly traded on a recognized □ Yes stock exchange] [refer instructions e.] Please specify the name of the listed company and one stock exchange on which stock is traded regularly) Name of the listed Company Nature of Relation: ☐ Subsidiary ☐ Controlled Name of the Stock Exchange: 3 Is the entity an Active NFE? П No ☐ Yes - Nature of Business Please specify sub-category of Active

If the entity a Passive NFE: [refer instructions h.]

 $\square$   $\square$  **NFE** [refer instructions g.]

☐ Yes - Nature of Business

If Yes, fill UBO declaration in the next section

□ No



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

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

#### **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	1	<i>s</i>	<b>4</b>

<sup>~</sup> In case TIN is not available, kindly provided functional equivalent

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



# 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.



#### 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		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	_	NFE is a Governmental Entity, an International Organization, a Central Bank, or an					
		y wholly owned by one or more of the foregoing;					
03	Subs	stantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding					
	stocl	of, or providing financing and services to, one or more subsidiaries that engage in trades or					
	busi	businesses other than the business of a Financial Institution, except that an entity shall not qualify					
	for 1	for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private					
	equi	ty 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					
	inve	stment 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	that the NFE shall not qualify for this exception after the date that is 24 months after the date of the					
	initia	al 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					
	asse	s 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 Entit						
	is no	t a Related Entity, provided that the group of any such Related Entities is primarily engaged in					
	a bu	siness other than that of a Financial Institution;					
07	Any	NFE is a 'non for profit' organization which meets all of the following requirements:					
		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;					
		It is exempt from income tax in India;					
		It has no shareholders or members who have a proprietary or beneficial interest in its income					
		or assets;					
		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 purcha							
		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					



governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

- 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 loyalties (other than rents and loyalties 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 [NPFFIs] an FFI other than participating FFI, a deemed-complaint FFI, or an exempt beneficial owner
- 1. 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 Sub-category					
A	An organization exempt from tax under section 501(a) or any individual retirement plan as					
	defined in section 7701(a)(37)					
В	The United States or any of its agencies or instrumentalities					
С	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)					
Е	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					
Н	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					



# Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons

I: Investor details:									
Investor Name									
PAN (Mandatory)									
	•	•	•	1		•	•	•	
II: Category									
	Our company is a Listed Company on a recognized stock exchange in India / Subsidiary of a or Controlled by a Listed Company [If this category is selected, no need to provide UBO details].								
Name of the Stock E	xchange wher	e it is liste	d						
Security ISIN		· · · · · · · · · · · · · · · · · · ·							
Name of the Listed C	Company (appli	cable if the	investor is	subsidiary/a	ssociate): _				
☐ Unlisted Compan	y 🗆 Partner	ship Firm /	LLP 🗆	Unincorpo	rated asso	ociation / b	ody of indi	viduals	
☐ Public Charitable	Trust 🗆 P	rivate Trus	st 🗆 Re	eligious Tru	st 🗆 Tr	ust created	d by a Will.		
☐ Others [please sp	pecify]								
Ultimate Beneficiar	y Owner (UBC	D) / Contro	olling Per	son(s) / Se	nior Mana	aging Offi	cial details	<u>s.</u>	
Does your comp	pany/entity	have ar	ny indivi	idual per	son(s) v	who hol	ds direc	t / indire	ect
controlling own	controlling ownership above the prescribed threshold limit? # ☐ Yes ☐ No								
	If 'YES' - We hereby declare that the following individual person holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.								
If 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.									
	UBO-1 / Se	nior Mana al (SMO)	ging	UI	30-2		l	JBO-3	
Name of the UBO / SMO#.									
UBO / SMO PAN#.									
For Foreign National, TIN to be provided]									
UBO / SMO Country of Tax									



Residency#.				
UBO / SMO Taxpayer Identification Number / Equivalent ID Number#.				
UBO / SMO Identity Type				
UBO / SMO Place	Place of Birth	Place of Birth	Place of Birth	
& Country of Birth#	Country of Birth	Country of Birth	Country of Birth	
UBO / SMO Nationality				
UBO / SMO Date of Birth [dd-mmm-yyyy]#				
UBO / SMO PEP#	PEP.	PEP.	PEP.	
	Related to PEP.	Related to PEP.	Related to PEP.	
	Not a PEP.	Not a PEP.	Not a PEP.	
UBO / SMO	Residence	Residence	Residence	
Address Type	Business	Business $\square$	Business	
	Registered Office.	Registered Office.	Registered Office.	
UBO / SMO	Public Service	Public Service	Public Service	
Occupation	Private Service	Private Service	Private Service	
	Business	Business	Business $\square$	
	Others	Others	Others	
SMO Designation#				
UBO / SMO KYC Complied**.  If not complied, please complete KYC process independently and	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.	
then submit the proof.				

#### # Mandatory column.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information.

# **Declaration**

<sup>\*\*</sup> In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.



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, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. 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 but not limited 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 regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant 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.

Signature with relevant seal:					
Authorized Signatory	Authorized Signatory	Authorized Signatory			
Name:	Name:	Name:			
Designation:	Designation:	Designation:			
Place:					
Date://					



#### Instructions on Controlling Persons / Ultimate Beneficial Owner

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement.

#### A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
  - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership or or who exercises control through other means."

For the purpose of this clause, "Control" shall include the right to control the management or policy decision.

- more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

#### B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Provided that in case of a trust, the reporting entity shall ensure that trustees disclose their status at the time of commencement of an account-based relationship or when carrying out transactions as specified in clause (b) of subrule (1) rule 9.

#### C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

#### D. KYC requirements

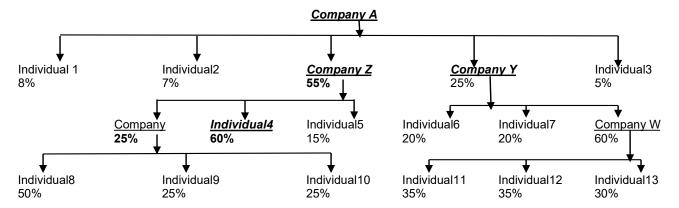
Beneficial Owner(s) / Senior Managing Official (SMO) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s) / SMO(s).

In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.



#### Sample Illustrations for ascertaining beneficial ownership:

### Illustration No. 1 - Company A



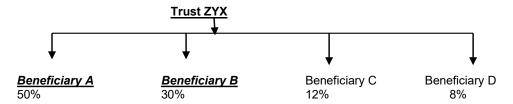
For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and those exercising control.

#### Illustration No. 2 - Partner ABC



For Partnership Firm ABC, Partners 1, 2, 3 and 4 are considered as UBO as each of them holds >=10% of capital. KYC proof of these partners needs to be submitted including shareholding.

#### Illustration No. 3 - Trustee ZYX



For Trust ZYX, Beneficiaries A, B and C are considered as UBO as they are entitled to get benefitted for >=10% of funds used. KYC proof for these beneficiaries needs to be submitted. Additionally, if they have nominated any person or group of persons as Settlor of Trust / Protector of Trust, relevant information to be provided along with the proof indicated.



# **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
2

[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	Authorised person signature
	/ 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
2	Pledging / re-pledging of securities in favour of BugleRock Capital Private Limited / Clearing Member (CM) / Clearing	Authorised person signature
	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
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

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with			
relevant seal	1	<b>/</b>	4



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

To,				
U	Capital Priva		1.0	
_	kt, 1st Floor 23 560001 India	3, Kasturba Ro	ad Cross,	
Dangaiore -	500001 IIIdia			
Dear Sir/ M	Iadam,			
1) I			( Name of Karta ) her	reby declare that I
am the kart	a of the HUF		(Name	e of HUF) and
following p	ersons are Co	-Parceners of t	his HUF.	
2) We all th	e below ment	ioned coparcer	ners declare that we are the only i	members of Joint Hindu
Undivided	Family (HUF)	named		
Details of o	ur HUF and a	ll its Co Parcer	ners are stated as under	
List of co p	arceners			
Sr. No	Name	DOB	Relationship with the Karta	Signature
1				
2				
2				
3				
4				
5				
To be sign	ned by all mer	nbers including	g female members	
C:	0 Cta CTC		stores of HIE	
Signature	& Stamp of K	arta 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	1	<b>/</b>	4



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

To,	
BugleRock Capital Private Limited	
Prestige Takt, 1st Floor 23, Kasturba Road Cr	oss,
Bangalore - 560001, India	
Dear Sir/Madam,	
Subject: Running Account Authorization.	
Ref: My UCC Code: Clie	ent 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.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures			
along			
with			
relevant			
seal	3	3	



### 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):

□ Once in a calendar Month	□ Once in the calendar Quarter
(If no check box is selected, the set	tlement will be done Quarterly)

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with			
relevant seal	1	1	1



### 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		<b>4</b>	4



Broker/Agent Code ARN:			SUB-BROKER		EUIN	
Unit Folder Information	50 to 10 to					
Name of the First Applicant :		35		~		
PAN Number :		KYC:		Date Of Birth :		
Father Name:				Mother Name :		
Name of Guardian:				PAN:		
Contact Address:						
City:	Pincode:		State:		Country:	
Tel.(Off):	Tel.(Res):			Email:		
Fax(Off):	Fax(Res):			Mobile:		
Income Tax Slab/Networth:				Occupation Detai	ls:	
Place of Birth:		Country of Tax R	esidence:	***		
Tax ld No:		~			200	
Politically exposed person /Related	to Politically expo	sed person etc.?			Yes	No
Mode of Holding:				Occupation:		
Name of the Second Applicant :						
PAN Number :		KYC:		Date Of Birth :		
Income Tax Slab/Networth:		Х		Occupation Detai	ls:	
Place of Birth: Country of Tax Residence:						
Tax ld No:						
Politically exposed person /Related	to Politically expo	sed person etc.?			Yes	No
Name of the Third Applicant :				Va		
PAN Number :		KYC:		Date Of Birth :		
Income Tax Slab/Networth:			Occupation Details:			
Place of Birth:		Country of Tax R	esidence:			
Tax ld No:						
Politically exposed person /Related to Politically exposed person etc.?  Yes No						
Other Details of Sole / 1st Applican	t					
Overseas Address (In case of NRI	Investor):					

			V.	
City:	Pincode: C		Country:	
Bank Mandate 1 Details				
Name of Bank:			Branch:	
A/C No.:	A/C Type:		IFSC Code:	
Bank Address:		v		
City:	Pincode:	State:		Country:
Bank Mandate 2 Details		•		
Name of Bank:			Branch:	
A/C No.:	A/C Type:		IFSC Code:	
Bank Address:				
City:	Pincode:	State:		Country:
Bank Mandate 3 Details				
Name of Bank:			Branch:	
A/C No.:	A/C Type:		IFSC Code:	
Bank Address:				
City:	Pincode:	State:		Country:
Bank Mandate 4 Details				
Name of Bank:			Branch:	
A/C No.:	A/C Type:		IFSC Code:	
Bank Address:			<i>y</i>	
City:	Pincode:	State:		Country:
Bank Mandate 5 Details	The state of the s		-	
Name of Bank:			Branch:	
A/C No.:	A/C Type:		IFSC Code:	
Bank Address:	гло турс.		11 00 00d0.	
Bank Address:				
City:	Pincode:	State:		Country:
Nomination Details			F	
Nominee Name:			Relationship:	
Guardian Name(If Nominee is Mino	or):			
Nominee Address:			·	
City:	Pincode:		State:	
	by me/us are true and correct. The Al c), payable to him for the different cor me/us.			
Date :		Place :		
1st applicant Signature :	2nd applicant Signature :		3rd applicant Sign	nature :



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

П		
	വ	

#### **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 userna	ime and password on my/ our registered email
address	_ and therefore request you to enable me/ us
for carrying securities trading through use of Int	ernet & wireless technology (Including trading
through mobile Application)	

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### 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.



- 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.



#### 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)



#### 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

Particulars	Details	Notes/remarks
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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	Dec	laration	Form of	f Non-Pr	ofit Org	anizatio	n (NPO)			
		(Ma	ndatory	for Trus	ts/Societ	ty)				
Investor Name										
PAN										
I/We hereby companies Act, 1860 (21 of 1860 Companies Act, 2013)  Enclosed relevant We further confirm details are as follows:	en consti 1961 (43 0) or any 3 (18 of 20 nt docum that we	tuted for of 1961), similar 013). nentary p	religious and is re State les roof evic	s or chari gistered gislation dencing t	table pur as a trust or a Con he above	poses ref or a soci npany re definition	erred to a ety unde gistered n.	in clause er the Soo under th	(15) of secieties Rene section	ection 2 ( egistration 8 of th
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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.



### 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. 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.



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.



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	

Mot	oile Number on w	hich mes	sages are	to be s	ent					
	(Please wri	te only th	ne mobile	numbe	er withou	ıt prefixi	ng count	ry code c	or zero)	
The mobile number is registered in the name of:										
Email ID:										

(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:

Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)	Maximum Annual Maintenance Charges
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.



#### "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.

<sup>\*</sup> 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 then 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 under stand 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.



# 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).

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures			
along with			
relevant			
seal			
	<b>9</b>	<b>4</b>	<b>4</b>



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

To,	
BugleRock Capital P	rivate 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.

Authroised Signatory	Authroised Signatory	Authroised Signatory
	/	
	Authroised Signatory	Authroised Signatory Authroised Signatory



#### [On the Letterhead of the Client Entity]

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

Daic.	
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 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:
  - o Place buy/sell orders;
  - o 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 Pe	rsonal 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.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures			
along with			
relevant			
seal	<b>4</b>	1	



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

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.
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.
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.
1

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.

	Authroised Signatory	<b>Authroised Signatory</b>	Authroised Signatory
Name			
Signatures along with relevant seal	1	<b>4</b>	<b>4</b>



#### 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 v	vith Trade Code
I/We, the undersigned, hereby provide my/our ex	xpress and explicit consent to Buglerock
Capital Private Limited ("Trading Member") for sha	ring my/our information with Third-Party
Product Providers, subject to the terms and condition	ns 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**:
  - Name and contact details (such as phone number, email ID)
  - o Investment profile and risk assessment
  - o Investment preferences, if any
  - Other non-transactional data as may be required for product suitability assessment or onboarding

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures			
along with			
relevant			
seal	1	1	1



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

#### 4. I/We confirm that:

- This consent is being provided voluntarily.
- o 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.
- o 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.** 

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Name			
Signatures along with relevant seal	4	1	1



# **Issue of DIS Booklet**



	OPTION F	ORM FOR ISSU	E OF DIS I	ВООК	LET		
			Oate D D	) M	M Y	Y	Y Y
	PID 1 2 0 6 3 5 0 Holder Name	0 Client ID					
То,							
	gleRock Capital Private Limit ngalore – 560001	ed					
De	ar Sir / Madam,						
Ι/	We hereby state that: [Select o	ne of the options g	ven below]				
	OPTION 1:						
ope	We require you to issue Delicening of my / our CDSL accordistered for eDIS /		have issued agreement	d a Pov in	ver of A favour	ttorney of	y (POA) / / with
effe	ecuting delivery instructions for ected through such Power of ecuting delivery instructions th	Attorney holder /	_	_			_
Yo	urs faithfully						
	Authroised Signatory	Authroised S	Signatory	A	Authrois	ed Sig	natory

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures			
Along with seal	1	1	1

#### <u>OR</u>

#### u. OPTION 2:

#### Yours faithfully

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures			
Along with seal		/	
with seal	_	13	



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

Signature of the Client :	
Date:	

Thanking you,

**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 <a href="https://buglerock.asia/equitybroking/downloads-and-communications/">https://buglerock.asia/equitybroking/downloads-and-communications/</a> in 15 regional languages for your ease reference.

	Authroised Signatory	Authroised Signatory	Authroised Signatory
Name			
Signatures along with relevant seal	1		



# 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.
	$\square$ Does not Match $\square$ Does Match (tick whichever is applicable)
5. A	ction taken if the name is found matching
•••••	
	rce of Funds / Income Verification
□ Sala	ry □ Business Income □ Inheritance □ Investment Returns □ Others:
Docun	nents Verified: □ ITR □ Bank Statement □ Form 16 □ Others:
7. Clie	nt Background / Reputation Risk
□ No a	adverse news found in public domain
□ Adv	erse media alerts found and escalated
Detail	s of verification / news source:
Name	of Verifying Employee
Emplo	yee Code
Date V	verified verified
Signat	ure

Compliance Sign off: -

#### **BUGLEROCK CAPITAL PRIVATE LIMITED**

(CIN: U67120KA2008PTC047749)

Prestige Takt, 1st Floor 23, Kasturba Road Cross, Bangalore - 560001,

India Tel: +91 080 69029000

SEBI Registration No.: INZ000291332 | Member of BSE Limited (CM)

and National Stock Exchange of India Limited (CM, F&O)

Portfolio Management Services: INP000005430

Depository Participant (CDSL): IN-DP-CDSL-533-2010

AMFI registered Mutual Fund Distributor (ARN - 79196)

# BügleRock