Demat Account Opening Form - Individual & NRI Client

Form No. ________________ **Client Code** ____________

Client Name ____________________________________

RM / SM Name ___________________________________

BügleRock

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

IMPORTANT DECLARATIONS BY BUGLEROCK CAPITAL PRIVATE LIMITED

- On July 04, 2025, SEBI approved the Depository Participant name change 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.
- 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 (CIN)	U67120KA2008PTC047749
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 (PCM)	ICICI Bank
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 (DP)	Bharat M Sharda Mobile No.: + 91 98201 87555 Email id: bharat.s@buglerock.asia
CEO Name, Phone No. & Email ID	Sudeep Srikantaswamy 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 DP-related disputes: helpdesk@buglerock.asia

📞 **Phone:** +91 80 69029000

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

Sr. No	Exchange / DP	Email Id	Contact No
1	Central Depository Services (India) Limited	**complaints@cdslindia.com**	1800-22-5533

Investor Grievance Redressal Mechanism

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

For queries, feedback, or assistance, please contact SEBI's Toll-Free Helpline:
📞 **1800 22 7575 / 1800 266 7575**

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

Office of Investor Assistance & Education
Securities and Exchange Board of India (SEBI)
Plot No. C 4-A, G Block, Near Bank of India,
Bandra Kurla Complex, Bandra (East),
Mumbai, Maharashtra - 400051

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

CASH RECEIPTS & PAYMENTS STRICTLY NOT ALLOWED

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

CHECKLIST TABLE FOR INDIVIDUAL ACCOUNT OPENING

Important Notes:
1. Requirements are as per CDSL, CVL, CKYC 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

The respective documents submitted should be as per the requirements mentioned	
Document Type	
ID Proof	Passport / Driving License / Voter ID / Aadhar Card
Address Proof	Passport / Driving License / Voter ID / Aadhar Card
Bank Proof	Cancelled Cheque / Bank Passbook / Bank Statement / Bank Verification on Bank Letterhead
Income Proof	Copy of Income Tax Return / Copy of Annual Accounts / Copy of Form 16 (Salary Certificate) / Net worth Certificate / Demat Holding Statement / Bank Statements for last 6 months (Proof of Financial details anyone)
Signature Proof	Passport / Driving License / Bank Verification Letter

Trading & Demat Account Checklist (Individual / NRI) - ACOP Individual Version							
Required Validation	**ID Details**			**Address Details**		**Bank Details**	
Proofs	**Name**	**Sign**	**Photo**	**Correspondence Address**	**Permanent Address**	**Bank Name & A/c No.**	**MICR / IFSC Code**
Passport *	☐	☐	☐	☐	☐		
Driving Licence *	☐	☐	☐	☐	☐		
Voter ID	☐	☐	☐	☐	☐		
UID (Aadhaar)	☐	☐	☐	☐	☐		
Cancelled Cheque (With Client name & A/c No. Printed)						☐	☐
Bank Verification Letter (Original)	☐	☐	☐	☐	☐	☐	☐

Abbreviations:
*The Proof should be valid on the DATE of agreement.
** The Proof should not be more than 3 months old.

Proof Of Financial Details, any one		
☐ Copy of Income Tax Return	☐ Copy of Annual Accounts	☐ Copy of Form 16 (Salary Certificate)
☐ Networth Certificate	☐ Demat Holding Statement	☐ Bank Statements for last 6 months

Proof For Existing Demat Account Holders	
☐ DP Statement	☐ Client Master Report (CMR)
1. Clients name & DP A/c No. on the proof of DP should match with that mentioned in the account opening form. 2. DP statement should clearly show DP ID & Client ID.	

Proofs For NRI (Non-Resident Indian)
1. PAN card 2. Valid Passport / PIO Card / OCI Card as proof of Identity. Proof of Foreign Address and Indian Address (If any) 3. Bank A/c should be either Repatriable Bank A/c for NRE OR Non-Repatriable A/c for NRO Status. 4. Proof of Demat Account should be only with NRI status. 5. Permission for dealing in securities from Authorized Dealer (Bank) / RBI.

Watch Outs / Last Minute Revision
1. All details to be filled in Capital Block letters in Black / Blue Ink Only and do have: a. Clients Name and Signature at places marked in Grey Color. b. Joint holders signature will be required against the symbols. c. Address - as it appears on the address proof. In case permanent & Correspondence addresses are different, make sure to provide address proof for both of them. d. Witness signature at places marked in Light Grey Color. e. N. A. mentioned at all places not applicable to the client. 2. White ink is not allowed either on form or on agreement. All corrections to be countersigned with full signature. 3. All proofs, photographs and signature on the form should be clearly visible and should be self attested by client. 4. In case of DP in joint names, all the proofs - address proof - should be provided for the 2nd & 3rd Holder also.

Instructions/Guidelines for filling in the Individual KYC Application Form

A. General Instructions

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

B. Proof of Identity (POI)

a. Officially valid document (OVD) defined as per Rule 2 (d) of Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 (PML Rules):
i. The passport.
ii. The driving licence.
iii. Proof of possession of Aadhaar number.
iv. The Voter's Identity Card issued by Election Commission of India.
v. Job card issued by NREGA duly signed by an officer of the State Government.
vi. The letter issued by the National Population Register containing details of name address or
vii. Any other document as notified by the Central Government in consultation with the Regulator.
b. Further, in terms of proviso to the above Rule, where simplified measures are applied for verifying the identity of the clients. The following documents shall also be deemed to be officially valid document.
i. Identity card/ document with applicant's photo, issued by the Central/State Government Departments. Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks and Public Financial Institutions.
ii. Letter issued by a gazetted officer, with a duly attested photograph of the person.

C. Proof of Address (POA)

a. “Officially valid document” defined as per Rule 2 (d) of Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 (PML Rules):
i. The passport;
ii The driving licence;
iii Proof of possession of Aadhaar number;
iv The Voter's Identity Card issued by Election Commission of India;
v Job card issued by NREGA duly signed by an officer of the State Government;
vi The letter issued by the National Population Register containing details of name, address; or
vii Any other document as notified by the Central Government in consultation with the Regulator.

Instructions/Guidelines for filling in the Individual KYC Application Form

b. Further, in terms of Rule 9(18) of PML rules, 2005, in case the officially valid document furnished by the client does not contain updated address, the following documents (or their equivalent e-documents thereof) shall be as deemed to be officially valid document for the limited purpose of proof of address, provided that the client shall submit updated officially valid document (or their equivalent e-documents thereof) with current address within a period of three months of submitting the following documents:
i Utility bill which is not more than two months old of any service provider (electricity, telephone, postpaid mobile phone, piped gas, water bill);
ii Property or municipal tax receipt;
iii Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address;
iv Letter of allotment of accommodation from employer issued by state or central government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

The following are exempted from the mandatory requirement of PAN:
i Transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc. (under the category of Government) for transacting in the securities market.
ii. Investors residing in the state of Sikkim.
iii. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
iv. SIP of Mutual Funds upto ₹50,000/- per year.
In case there is change in the name subsequent to issuance of PAN of the client, registered intermediaries can collect the PAN card proof as submitted by the client provided it is supported by a marriage certificate issued by the State Government or gazette notification, indicating such a change of name.
The e-PAN issued by Central Board of Direct Taxes (CBDT) can also be produced by client for KYC compliance. e-PAN is a digitally signed PAN card issued in electronic format by the Income-tax department.

E. List of people authorized to attest the documents

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

F. Online Mode Processing of KYC

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

Instructions/Guidelines for filling in the Individual KYC Application Form

2. EKYC OTP
- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.

- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC
- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC
- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

5. DIGILOCKER
- Digital KYC performed through the documents (OVD) sourced from Digi locker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

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.

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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**	**In-Person Verification done by**
Name of the Employee			
Employee Code			
Designation of the Employee			
Branch Code			
Branch Name			
Branch State			
Date			
Signature			

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

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Dont's' and Guidance Note. I/We have given/sent him a copy of all the KYC documents.

I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

KRA Registration Details (For Office Purpose Only)

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

☐NDML ☐CKYC ☐CVL ☐ DOTEX ☐ Others (Please Specify)______________________________

(Please furnish photocopy of KRA Registration letter)

KRA Registration No.: ____________________________CKYC Registration No.: __________________________

Date of Registration: _______/ _______/ ______________

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

For BugleRock Capital Private Limited

Authorised Signatory

BügleRock

Consent Form

Download Consent Form – First Holder

[To be taken separately from each holder]

CENTRAL KYC RECORDS REGISTRY

Date: September 29, 2023

Reference no:- CKYC/2023/04

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

Dear Sir / Madam,

Sub: Download Consent Notification

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

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

****

Dear Sir/Madam,

PAN : ______________________

BO ID : ______________________

I, ____

[Name of the sole/first holder/2nd holder/3rd holder/ Authorized signatory]

S/o / D/o / W/o ____

____ [Father's /Mother's/Spouse Name], give my consent to download my /the entity's KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my /the entity's identity and address from the database of CKYCR Registry.

I understand that my/the entity's KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

____

(Signature of First holder)

Date:-

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Download Consent Form – Second Holder

[To be taken separately from each holder]

CENTRAL KYC RECORDS REGISTRY

Date: September 29, 2023

Reference no:- CKYC/2023/04

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

Dear Sir / Madam,

Sub: Download Consent Notification

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

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

****

Dear Sir/Madam,

PAN : ____________________________

Client ID : ____________________________

I, ____

[Name of the sole/first holder/2nd holder/3rd holder/ Authorized signatory]
S/o / D/o / W/o ____
____ [Father's /Mother's/Spouse Name], give my consent to download my /the entity's KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my /the entity's identity and address from the database of CKYCR Registry.

I understand that my/the entity's KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

____

(Signature of Second holder)

Date:

Download Consent Form – Third Holder

[To be taken separately from each holder]
CENTRAL KYC RECORDS REGISTRY

Date: September 29, 2023

Reference no:- CKYC/2023/04

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

Dear Sir / Madam,

Sub: Download Consent Notification

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

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

****

Dear Sir/Madam,

PAN : ____________________________
Client ID : ____________________________

I, ____
[Name of the sole/first holder/2nd holder/3rd holder/ Authorized signatory]

S/o / D/o / W/o ____

____ [Father's /Mother's/Spouse Name], give my consent to download my /the entity's KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my /the entity's identity and address from the database of CKYCR Registry.

I understand that my/the entity's KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

____

(Signature of Third holder)

Date:

BügleRock

APPLICATION FORM FOR DEMAT ACCOUNT

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

Important Instructions:

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

For office use only

(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

☐ 1. PERSONAL DETAILS* (Please refer instruction A 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* D D — M M — Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

PAN* ☐ Form 60 furnished

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC 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 of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

☐ PHOTO*

Address

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

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC 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 of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed Proof of Address - Document Type code

V ☐ Self Declaration

Address

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

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☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) ____ – ________ Tel. (Res) ____ – ________ Mobile __ – __________

Email ID ______________________________

☐ 5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D – M M – Y Y Y Y Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process

☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date: D D – M M – Y Y Y Y	Name:
Emp. Name:	Code:
Emp. Code:	
Emp. Designation:	
Emp. Branch:	
[Employee Signature]	[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

1. Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

1. In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
2. PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
3. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
4. In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
5. In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
6. List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

7. 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.
8. "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.
9. 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
10. 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

C Clarification / Guidelines on filling 'Contact details' section

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

D Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person, if available.

E Clarification on Minor

1. Guardian details are optional for minors above 10 years of age for opening of bank account only
2. However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

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

State/U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
ArunachalPradesh	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 & Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	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	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall 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
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	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	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	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	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	OA	Virgin Islands, British	VG
Cote d'Ivoire ICote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao 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		

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

Important Instructions:

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

For office use only

(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

☐ 1. PERSONAL DETAILS* (Please refer instruction A 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* D D — M M — Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

PAN* ☐ Form 60 furnished

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC 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 of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

☐ PHOTO*

Address

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

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC 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 of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed Proof of Address - Document Type code

V ☐ Self Declaration

Address

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

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☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) — Tel. (Res) — Mobile —

Email ID

☐ 5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D — M M — Y Y Y Y Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date D D — M M — Y Y Y Y	Name
Emp. Name	Code
Emp. Code	
Emp. Designation	[Institution Stamp]
Emp. Branch	
[Employee Signature]	

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR

2 PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.

3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.

5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.

6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

7 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.

8 "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.

9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

10 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

C Clarification / Guidelines on filling 'Contact details' section

1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).

2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

1 Provide KYC number of related person, if available.

E Clarification on Minor

1 Guardian details are optional for minors above 10 years of age for opening of bank account only

2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

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

State/U.T	Code
Andaman & Nicobar	AN
Andhra Pradesh	AP
ArunachalPradesh	AR
Assam	AS
Bihar	BR
Chandigarh	CH
Chattisgarh	CG
Dadra & Nagar Haveli and Daman & Diu	DD
Ladakh	LA
Delhi	DL
Goa	GA
Gujarat	GJ
Haryana	HR

State / U.T	Code
Himachal Pradesh	HP
Jammu & Kashmir	JK
Jharkhand	JH
Karnataka	KA
Kerala	KL
Lakshadweep	LD
Madhya Pradesh	MP
Maharashtra	MH
Manipur	MN
Meghalaya	ML
Mizoram	MZ
Nagaland	NL
Orissa	OR

State / U.T	Code
Pondicherry	PY
Punjab	PB
Rajasthan	RJ
Sikkim	SK
Tamil Nadu	TN
Telangana	TS
Tripura	TR
Uttar Pradesh	UP
Uttarakhand	UA
West Bengal	WB
Other	XX

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	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	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall 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
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	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	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	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	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	OA	Virgin Islands, British	VG
Cote d'Ivoire ICote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao 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		

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

Important Instructions:

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

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

Application Type* ☐ New ☐ Update
KYC Number (Mandatory for KYC update request)
Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

☐ 1. PERSONAL DETAILS* (Please refer instruction A 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* D D — M M — Y Y Y Y
Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
PAN* ☐ Form 60 furnished

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC 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 of Aadhaar

II ☐ E-KYC Authentication
III ☐ Offline verification of Aadhaar

☐ PHOTO*

Address

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

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC 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 of Aadhaar

II ☐ E-KYC Authentication
III ☐ Offline verification of Aadhaar
IV ☐ Deemed Proof of Address - Document Type code
V ☐ Self Declaration

Address

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

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☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) Tel. (Res) Mobile

Email ID

☐ 5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D – M M – Y Y Y Y Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date D D – M M – Y Y Y Y	Name
Emp. Name	Code
Emp. Code	
Emp. Designation	
Emp. Branch	
[Employee Signature]	[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

1. Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

1. In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
2. PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.
3. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
4. In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
5. In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
6. List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

7. 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.
8. "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.
9. 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
10. 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

C Clarification / Guidelines on filling 'Contact details' section

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

D Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person, if available.

E Clarification on Minor

1. Guardian details are optional for minors above 10 years of age for opening of bank account only
2. However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

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

State/U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
ArunachalPradesh	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 & Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	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	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall 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
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	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	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	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	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	OA	Virgin Islands, British	VG
Cote d'Ivoire ICote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao 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		

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Bank Account Details For Demat Account

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

BANK ACCOUNT DETAILS FOR DEMAT ACCOUNT

1. BANK ACCOUNT DETAILS (FOR DEMAT ACCOUNT)

Bank Name	
Branch Address	
City	
Pin Code	
State	
Country	
Telephone No	
Bank Account Number	
Bank Account Type	☐ Savings ☐ Current ☐ Others – in case of NRI / NRE / NRO (Specify)
IFSC Code	
MICR Code	

*Copy of cancelled cheque with MICR & IFSC Code is required

2. IN CASE OF NRI'S / FOREIGN NATIONALS

RBI Approval Reference No	
RBI Approval Date	
Foreign Address	
City	
Zip Code	
Country	
Telephone No	
Mobile Number	

Bank Account Detail (PIS):

Bank Name	
Branch Address	
City	
Pin Code	
State	
Country	
Telephone No	
Bank Account Number	
IFSC Code	
MICR Code	

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Demat Account Opening Form

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT – INDIVIDUAL

BugleRock Capital Private Limited
Prestige Takt, 1st Floor, No. 23,
Kasturba Road Cross, Bangalore 560001

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID		Client ID								

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per the following details: -

Holders Details

Sole / First Holder's Name		PAN	
		UID	
		UCC	
		Exchange Name & ID	
Second Holder's Name		PAN	
		UID	
Third Holder's Name		PAN	
		UID	

Name*	
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

Type of Account (Please tick whichever is applicable)

Status	**Sub – Status**	
❑ Individual	❑ Individual Resident	❑ Individual-Director
	❑ Individual Director's Relative	❑ Individual HUF / AOP
	❑ Individual Promoter	❑ Minor
	❑ Individual Margin Trading A/C (MANTRA) ❑ Others(specify) _______	
❑ NRI	❑ NRI Repatriable ❑ NRI Repatriable Promoter ❑ NRI – Depository Receipts	❑ NRI Non-Repatriable ❑ NRI Non-Repatriable Promoter ❑ Others (specify) _______________
❑ Foreign National	❑ Foreign National ❑ Foreign National - Depository Receipts ❑ Others (specify)________________________________	

Details of Guardian (in case the account holder is minor)

Guardian's Name		PAN	
Relationship with the applicant			

STANDING INSTRUCTIONS	
I / We instruct the DP to receive each and every credit in my / our account **(If not marked, the default option would be 'Yes')**	[Automatic Credit] ❑ Yes ▯ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end **(If not marked, the default option would be 'No')**	❑ Yes ▯ No
Account Statement Requirement	❑ As per SEBI Regulation ▯ Daily ❑ Weekly ▯ Fortnightly ▯ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID ______________________	❑ Yes ▯ No
I / We would like to share the email ID with the RTA	❑ Yes ▯ No
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 in Physical)**	
BSDA Confirmation (for more details on BSDA (Basic Services Demat A/c), please refer page no 69 &70 of account opening form)	❑ I/We do not wish to opt for BSDA ❑ I/We wish to opt for BSDA

I/ We wish to receive dividend / interest directly into **my** bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	❑ Yes ▯ No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR									
IFS Code (11 character)									
Account number									
Account type	❑ Saving ▯ Current ▯ Others (specify)								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN			

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued,

(or)

(ii) Photocopy of the Bank Statement having name and address of the BO

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details of Demat Account Holders

	Sole / First Holder	Second Holder	Third Holder
Educational Qualification	❑ Undergraduate ❑ Graduate ❑ Postgraduate ❑ Professional	❑ Undergraduate ❑ Graduate ❑ Postgraduate ❑ Professional	❑ Undergraduate ❑ Graduate ❑ Postgraduate ❑ Professional
Source of Income	**Primary:** ❑ Salary ❑ Business ❑ Pension ❑ Others (Specify)__________ **Secondary:** ❑ Rental ❑ Dividend ❑ Salary of Dependents ❑ Interest on Investment	**Primary:** ❑ Salary ❑ Business ❑ Pension ❑ Others (Specify)__________ **Secondary:** ❑ Rental ❑ Dividend ❑ Salary of Dependents ❑ Interest on Investment	**Primary:** ❑ Salary ❑ Business ❑ Pension ❑ Others (Specify)__________ **Secondary:** ❑ Rental ❑ Dividend ❑ Salary of Dependents ❑ Interest on Investment
Gross Annual Income	**Income Range per annum:** ❑ Below 1 Lac ❑ 1 Lac – 5 Lac ❑ 5 Lac – 10 Lac ❑ 10 Lac – 25 Lac ❑ > 25 lacs	**Income Range per annum:** ❑ Below 1 Lac ❑ 1 Lac – 5 Lac ❑ 5 Lac – 10 Lac ❑ 10 Lac – 25 Lac ❑ > 25 lacs	**Income Range per annum:** ❑ Below 1 Lac ❑ 1 Lac – 5 Lac ❑ 5 Lac – 10 Lac ❑ 10 Lac – 25 Lac ❑ > 25 lacs
Net-worth as on (date)	____________________ (Networth should not be older than one year)	____________________ (Networth should not be older than one year)	____________________ (Networth should not be older than one year)
Occupation	❑ Private / Public Sector ❑ Govt. Service ❑ Business ❑ Professional ❑ Agriculture ❑ Retired ❑ Housewife ❑ Student ❑ Others (Specify)	❑ Private / Public Sector ❑ Govt. Service ❑ Business ❑ Professional ❑ Agriculture ❑ Retired ❑ Housewife ❑ Student ❑ Others (Specify)	❑ Private / Public Sector ❑ Govt. Service ❑ Business ❑ Professional ❑ Agriculture ❑ Retired ❑ Housewife ❑ Student ❑ Others (Specify)
Nature of Business	☐ Agriculture ☐ Gems & Jewellery ☐ Money Lending ☐ Forex Dealer ☐ Real Estate ☐ Export-Import	☐ Agriculture ☐ Gems & Jewellery ☐ Money Lending ☐ Forex Dealer ☐ Real Estate ☐ Export-Import	☐ Agriculture ☐ Gems & Jewellery ☐ Money Lending ☐ Forex Dealer ☐ Real Estate ☐ Export-Import

	☐ Manufacturing ☐ Service Industry ☐ Trading Firm ☐ Casino Owner ☐ Arms Manufacturer ☐ Pawn Broker ☐ Others (Specify)	☐ Manufacturing ☐ Service Industry ☐ Trading Firm ☐ Casino Owner ☐ Arms Manufacturer ☐ Pawn Broker ☐ Others (Specify)	☐ Manufacturing ☐ Service Industry ☐ Trading Firm ☐ Casino Owner ☐ Arms Manufacturer ☐ Pawn Broker ☐ Others (Specify)
Please tick, if applicable:	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐ None	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐ None	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐ None
Any Other Information			
Client Signature			

SMS Alert Facility Refer to Terms & Conditions given as **Annexure - 2.4**	MOBILE NO. +91 ______________________ [(Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option).
Easi	To register for **e**asi, please visit our website **www.cdslindia.com**. **E**asi allows a BO to view his ISIN balances, transactions, and value of the portfolio online.

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

❑ Jointly	❑ Anyone of the Holder

Consent for Communication to be received by the first account holder/ all Account holders: (Tick the applicable box. If not marked the default option would be the **first holder**).		
❑ First Holder	❑ All Holder ❑ Second Holder ❑ Third Holder	Email ID ______________________________

CLIENT DECLARATION

Client Declaration

i. 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 nonresident account, I/we also declare that I / we have complied and will continue to comply with FEMA regulations.

ii. I / We confirm having read / been explained and understood the contents of the tariff sheet and all voluntary / non mandatory documents & policy & procedures.

iii. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and Do's and Dont's. 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 / Depository Participant designated website, if any.

iv. I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

v. I / We further confirm having read and understood the contents of the "Investor Charter for Stockbrokers, Depositories and Depository participants"

vi. I /We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application.

vii. I/We agree and undertake to intimate Buglerock Capital Private Limited any change(s) in the details / particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

viii. I/We hereby declare that I/We consent to receive information from the Central KYC Registry (CKYCR) via SMS and/or Email on my/our registered mobile number and/or email address as provided to the stock broker / Depository Participant.

ix. I / We are aware that my/our trading/DP account will be opened as per the Income Tax Website.

	First Holder	Second Holder	Third Holder
Client Name			
Client Signature			

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Nomination Form

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NOMINATION FORM

To,
BugleRock Capital Private Limited
Bangalore - 560001

Dear Sir / Madam

Nomination Details

DP ID								
Client Id								

☐ I/We wish to make a nomination and do here by nominate the following persons who shall receive all the Assets held in my/our account, in the event of the death of my death /our death.

	First/Sole Holder or Guardian (in case of Minor)	**Second Holder**	**Third Holder**
Name			
Signatures			

MANDATORY DETAILS

Nomination Details	**Nominee 1**	**Nominee 2**	**Nominee 3**
Nominee Name: *First Name: Middle Name: *Last Name	....	....	....
*Percentage of allocation of securities ☐ Equally **[If not equally, please specify percentage]** Or ☐ Share of each Nominee			
Any odd lot after division shall be transferred to the first nominee mentioned in the form			
*Relationship with the BO:			
* Date of birth and Name of Guardian to be provided in case of minor nominee (s)			

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NOMINATION FORM

NON - MANDATORY DETAILS			
*Address of Nominee(s) / Guardian in case of Minor:			
*City / Place			
*State			
*Country			
*PIN			
Mobile No / Telephone No of the Nominee (s) / Guardian in case of Minor			
Email ID of the nominee(s) /Guardian in case of minor:			
Nominee / Guardian (in case of minor) Identification Details – [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID			

*** Marked is a Mandatory field**

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

(Signatures should be preferably in blue ink)

Note:

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

Details of the Witness	
	Witness Details
Name of witness	
Address of witness	
Signature of witness	

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

Place____________________ Date________________________

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NOMINATION FORM

Declaration for Opting Out of Nomination Form

To,
BugleRock Capital Private Limited

Dear Sir / Madam

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

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

(Signatures should be preferably in blue ink)

*** Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.**

Details of the Witness	
	Witness Details
Name of witness	
Address of witness	
Signature of witness	

NOMINATION DECLARATION

The Nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individual including society, Trust, Body Corporate and partnership Firm, Karta of Hindu Undivided Family, Holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
A minor can be nominated. In that event, the name and address of the guardian of the minor nominee shall be provided by the beneficial owner.
Then nominee(s) shall not be a trust, Society, Body Corporate, Partnership Firm, and Karta of Hindu Undivided Family or a power of attorney holder. A non-resident Indian can be a nominee, subject to the exchange controls in force from time to time.
Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination respect of the securities shall stand terminated upon transfer of securities.
Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the participant against the legal heir
The Cancellation of nomination can be made by individual only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-Individual including society, Trust, Body Corporate, and Partnership firm, Karta of Hindu undivided family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
On Cancellation of the Nominee, the nomination shall stand rescinded, and the depository shall not be under any obligation to transfer the securities in favor of the nominee(s)
Nomination can be made up to three nominees in a demat account, in case multiple nominees, the client must specify the percentage of share for each nominee that shall total up to hundred percent. In the of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally among all the nominees.
On request of substitution of existing nominees by the beneficial owner, the earlier nomination shall rescinded, Hence, details of nominees mentioned in the FORM 10 at the time of substitution will be considered, Therefore, please mention the complete details of all nominees
Copy of any proof identity must be accompanied by original for verification or duly attested by any authorized for attesting the document

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

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Tariff Sheet

TARIFF SHEET – DEMAT

SCHEDULE OF CHARGES FOR RETAIL CUSTOMERS

Regular / Basic Services Demat Account (BSDA)

	☐ I wish to open a Regular Demat Account	☐ I wish to open Basic Services Account (BSDA)	
Description of Charges	**Regular Account**	**Basic Services Demat Account (BSDA)**	**Basis of Recovery**
Account Opening Charge	NIL	NIL	NIL
Account Closing Charge	NIL	NIL	NIL
Credit Transaction	NIL	NIL	NA
Annual Maintenance Charge**	Rs. 400 p.a	Holding Value: • Upto Rs. 4,00,000/- : NIL • From Rs. 4,00,001/- to Rs.10,00,000/- : Rs. 100/- • Above Rs.10,00,000/- : AMC for regular accounts will be applicable	AMC for existing Demat Accounts to be recovered up-front every year. New Accounts would be charged on pro-rata basis from the Next Day of Account Opening.
Demat Charges	Rs. 100/- per certificate	Same as per regular account	To be recovered through monthly bill
Remat Charges	Rs.200/- for every 100 securities or part thereof	Same as per regular account	To be recovered through monthly bill
Debit Transaction	0.04% of the value transaction or Rs.25/- (per Instruction) whichever is higher	Same as per regular account	To be recovered through monthly bill
Failed / Rejected Instruction	Rs.10/- per Instruction	Same as per regular account	To be recovered through monthly bill
Ad-hoc Statement	Rs.100/- per Statement	Same as per regular account	To be recovered upfront
DIS Booklet Charge	First DIS Book (10 Leaves): NIL Additional Booklet (10 Leaves):Rs.100/-	Same as per regular account	To be recovered through monthly bill
Account Modification Charges	Modification in CML: Rs.25/-per request KRA Upload/ Download: Rs. 50/-	Same as per regular account	To be recovered through monthly bill
Courier Charges per Demat/Remat/Demat Rejection	Rs. 100/-	Same as per regular account	To be recovered through monthly bill
PLEDGE SERVICES			
Creation / Closure / Invocation	0.04% of the value of the transaction or Rs. 50/- (per instruction) whichever is higher.	Same as per regular account	To be recovered through monthly bill

TARIFF SHEET – DEMAT (Contd….)

Note:

i. BugleRock Capital Private Limited reserves the right to revise the tariff by providing 30 days' notice.

ii. Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions

iii. Any service not quoted above will be charged separately.

iv. 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.

v. In case of non-payment of DP charge, BugleRock Capital may levy interest@18% p.a

vi. For the benefit of the investors SEBI has directed Depositories to send Consolidated Account Statement (CAS) from February 2015 for the investments of an investor in Mutual Funds (MF) and securities held in demat form with the Depositories.

vii. Any request for resuming the services will be charged at Rs. 200/- per request as activation charge. Services will be resumed in a minimum of 3 to 5 working days from the date of receipt of request with us and on payment of all dues including activation charge.

viii. In case of cheque bounce, charges will be Rs. 350/-.

ix. All charges mentioned above are inclusive of CDSL charges including a settlement fee of Rs 3.25 (For Female) and Rs. 3.50 (Other than female) per debit instruction for CDSL.

x. The value of holding shall be determined 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 price is not available, the last traded price shall be taken into account and for unlisted securities other than units of mutual funds, face value shall be taken in to account.

xi. To evaluate the eligibility for Basic Services Demat Accounts (BSDA), the value of holdings will be determined on a daily basis, as per the le sent by the NSDL / CDSL The AMC will be calculated at the pro-rata basis based on the value of holding of securities in the account.

xii. 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. 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. 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. The value of the transaction will be in accordance with rates provided by Depositories (NSDL / CDSL)

xiii. The operating instructions for the joint accounts must be signed as per Mode of Operation, as applicable.

xiv. 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.

xv. 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.

xvi. The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence dispatch

xvii. Effective 01July'2020 stamp duty charges would be collected from BO on consideration amount of Off Market transfer and from pledgee for Pledge invocation request, before execution of request.

xviii. Flat fee of Rs 20/- + taxes, would be levied for each Margin Pledge service instruction submitted

xix. **Additional Rights and Obligations**

The depository participant shall no directly / indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instructions (DDPI) or deny services to the client if the client refuses to execute POA or DDPI.

Client Signature			
Client Name	**First/Sole Holder**	**Second holder**	**Third Holder**

BügleRock

FATCA / CRS Declaration

FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION

Declaration Form for Individuals

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

Pan No										

Sole Holder / First Holder Name			
Address Type [for KYC address]	☐ Residential ☐ Registered Office ☐ Business	Nationality	☐ Indian ☐ US ☐ Others (please specify) ____________________
Place of Birth		Country of Birth	
Gross Annual Income Details in INR Net Worth in INR. In Lacs & Date [Optional]	☐ Below 1 Lakh ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs - 1 Cr ☐ > 1 Crore __________ **dd-mm-yyyy**	Occupation Details [Please tick any one (√)]	☐ Business Professional ☐ Public Sector ☐ Private Sector ☐ Government Service ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others [Please specify] ______________
Politically Exposed Person [PEP]	☐ Yes ☐ Related to PEP ☐ Not Applicable	Any other information [if applicable]	[Please specify]

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India? ☐ Yes ☐ No

If 'Yes', please fill for all countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please tick ☑ the reason A, B or C [as defined below]
1				Reason ☐ A ☐ B ☐ C
2				Reason ☐ A ☐ B ☐ C

- Reason A ☐ The country where the Account Holder is liable to pay tax does not issue TIN to its residents.
- Reason B ☐ No TIN required [Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]
- Reason C ☐ Others – Please specify the reasons ____________________________________

FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION

Declaration Form for Individuals

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

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you 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 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 of the same. Further, I 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 also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize you to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same

Date:-

Place:-

Client Signature / First Holder

FATCA-CRS Declaration & Supplementary KYC Information Declaration Form for Individuals Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance

Pan No										

Second Holder Name			
Address Type [for KYC address]	☐ Residential ☐ Registered Office ☐ Business	Nationality	☐ Indian ☐ US ☐ Others (please specify) ________________
Place of Birth		Country of Birth	
Gross Annual Income Details in INR Net Worth in INR. In Lacs & Date [Optional]	☐ Below 1 Lakh ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs - 1 Cr ☐ > 1 Crore ____________ **dd-mm-yyyy**	Occupation Details [Please tick any one (√)]	☐ Business Professional ☐ Public Sector ☐ Private Sector ☐ Government Service ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others [Please specify] ____________
Politically Exposed Person [PEP]	☐ Yes ☐ Related to PEP ☐ Not Applicable	Any other information [if applicable]	[Please specify]

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India? ☐ Yes ☐ No				
If 'Yes', please fill for all countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries				
S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please tick ☑ the reason A, B or C [as defined below]
1				Reason ☐ A ☐ B ☐ C
2				Reason ☐ A ☐ B ☐ C

- Reason A □ The country where the Account Holder is liable to pay tax does not issue TIN to its residents.
- Reason B □ No TIN required [Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]
- Reason C □ Others – Please specify the reasons ________________________________

BügleRock

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

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you 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 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 of the same. Further, I 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 also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize you to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same

Date:-

Place:-

Second Holder Signature

BügleRock

FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION

Declaration Form for Individuals

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

Pan No										

Third Holder Name			
Address Type [for KYC address]	☐ Residential ☐ Registered Office ☐ Business	Nationality	☐ Indian ☐ US ☐ Others (please specify) ________________
Place of Birth		Country of Birth	
Gross Annual Income Details in INR Net Worth in INR. In Lacs & Date [Optional]	☐ Below 1 Lakh ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs - 1 Cr ☐ > 1 Crore __________ **dd-mm-yyyy**	Occupation Details [Please tick any one (√)]	☐ Business Professional ☐ Public Sector ☐ Private Sector ☐ Government Service ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others [Please specify] __________
Politically Exposed Person [PEP]	☐ Yes ☐ Related to PEP ☐ Not Applicable	Any other information [if applicable]	[Please specify]

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India? ☐ Yes ☐ No				
If 'Yes', please fill for all countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries				
S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please tick ☑ the reason A, B or C [as defined below]
1				Reason ☐ A ☐ B ☐ C
2				Reason ☐ A ☐ B ☐ C

- Reason A ☐ The country where the Account Holder is liable to pay tax does not issue TIN to its residents.
- Reason B ☐ No TIN required [Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]
- Reason C ☐ Others – Please specify the reasons ________________________________

FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION

Declaration Form for Individuals

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

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you 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 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 of the same. Further, I 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 also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize you to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same

Date:-

Place:-

Third Holder Signature

Voluntary Documents

BügleRock

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, hereby explicitly agree and give consent to authorize BugleRock Capital Private Limited, to access Beneficial Owner (BO) Account as per details given above for following purposes: Accordingly, I/We hereby, authorize BugleRock Capital Private Limited to do the following:

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

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) AUTHORISATION - VOLUNTARY

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

Client Signature			
Client Name	**First/Sole Holder**	**Second holder**	**Third Holder**

BügleRock

AUTHORIZATION FOR RECEIPT OF DOCUMENTS IN DIGITAL MODE - VOLUNTARY

To,
BugleRock Capital Private Limited

Dear Sir / Madam,

I/We hereby consent to receive the 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 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 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 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 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.

Client Signature			
Client Name	First/Sole Holder	Second holder	Third Holder

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.

- 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.
- 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).
- 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?

- 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.
- 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.

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?

- 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.
- 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.

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

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

- 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.
- 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.

	First/Sole Holder	Second holder	Third Holder
Client Name			
Client Signature			

DECLARATION WITH RESPECT TO LEGITIMATE SOURCE OF FUNDS

Particulars	First Holder	Second Holder	Third Holder	Notes/Remarks
Full name of Client				
Description and Brief Profile of Client				
Client Sourced by, if applicable				
Estimated Value of Securities to be Held				
Source of Funds for Investment Activity				
Networth of Client				
Gross Annual Income (Last 1 Year)				
Nature of Occupation / Business				
Any other remarks				

Declaration:

I/We hereby declare that the above-mentioned information is true and correct to the best of my/our knowledge and belief. I/We confirm that the funds used for any transactions or investment activities through this Demat Account are from legitimate sources and do not contravene any laws or regulations including those under the **Prevention of Money Laundering Act, 2002**, and associated rules.

	First/Sole Holder	Second holder	Third Holder
Client Name			
Client Signature			

BügleRock

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.
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.

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.

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…)

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

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

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

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

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

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

	First Holder	Second Holder	Third Holder
Name			

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…)

Mobile Number on which messages are to be sent

+91										

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

	First/Sole Holder	Second holder	Third Holder
Client Name			
Client Signature			

BügleRock

Basic Services Demat Account (BSDA)

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

A. Eligibility:

Individuals 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.

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.

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

b. Holding Statement:

iv. One annual physical statement of holding shall be sent to the stated address of the BO in respect of accounts with no transaction and nil balance.
v. One annual statement of holding shall be sent in respect of remaining accounts in physical or electronic form as opted for by the BO.

c. Charges for statements: Electronic statements shall be provided free of cost. In the case of physical statements, BugleRock Capital Private Limited shall provide at least two statements free of cost during the billing cycle. Additional physical statement shall be charged at a fee of Rs.25*/- per statement.
d. All BOs opting for the facility of BSDA, shall register their mobile number for availing the SMS alert facility for debit transactions.
e. At least Two Delivery Instruction Slips (DIS) shall be issued at the time of account opening.
f. In case the individual already has BSDA or open a new BSDA on a later date, then status of this demat account as BSDA will cease to exist.
g. All other conditions applicable to regular demat accounts, other than the ones mentioned above, shall continue to apply to basic services demat accounts.

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

	First/Sole Holder	**Second holder**	**Third Holder**
Client Name			
Client Signature			

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.)

BügleRock

NRI DECLARATION

To,

BugleRock Capital Private Limited
Bangalore - 560001

Dear Sir / Madam,

I/We have requested you to open the trading and demat account with you. I/We have given the following address in the account opening documents which is on the basis of my PO. Box no. My/Our complete address as on date is as follows:

____

____

In case any changes in my/us above mentioned address I/we will intimate to BugleRock Capital Private Limited.

I/We have complied with, and will continue to comply with, FEMA regulations and other applicable laws.

Thanking You,

Yours truly,

	First/Sole Holder	Second holder	Third Holder
Client Name			
Client Signature			

*To be signed by second and/or third holder only if he / she is NRI. Not to be signed by second and/or third holder, if he / she is resident Indian

NAME DECLARATION FORM – FIRST HOLDER

To,

BugleRock Capital Private Limited
Bangalore - 560001

Sub: Declaration of Additional Names as per other valid documents

Dear Sir/Madam,

With regards to captioned subject I / We, Mr. / Ms. ______________________________ is made aware that my / our trading / demat account with BugleRock Capital Private Limited shall be opened in my / our name as per income tax website and the same shall be updated in Regulatory records by BugleRock Capital Private Limited

Besides name as per income tax site, I / We also wish to update / register one of my / our below mentioned additional name in your records which are also acceptable and are valid as per applicable statutes for which necessary documents are provided by me / us.

Name as per Aadhaar: ____

Name as per Bank: ____

Name as per PAN Card: ____

Name as per Voter ID Card: ____

Name as per Passport: ____

Name as per Driving License: ____

Name as per Marriage Certificate: ____

(In case of females)

Client's Signature	
Client Name	

BügleRock

NAME DECLARATION FORM – SECOND HOLDER

To,

BugleRock Capital Private Limited
Bangalore - 56001

Sub: Declaration of Additional Names as per other valid documents

Dear Sir/Madam,

With regards to captioned subject I / We, Mr. / Ms. ____________________________ is made aware that my / our trading / demat account with BugleRock Capital Private Limited shall be opened in my / our name as per income tax website and the same shall be updated in Regulatory records by BugleRock Capital Private Limited

Besides name as per income tax site, I / We also wish to update / register one of my / our below mentioned additional name in your records which are also acceptable and are valid as per applicable statutes for which necessary documents are provided by me / us.

Name as per Aadhaar: ____________________________

Name as per Bank: ____________________________

Name as per PAN Card: ____________________________

Name as per Voter ID Card: ____________________________

Name as per Passport: ____________________________

Name as per Driving License: ____________________________

Name as per Marriage Certificate: ____________________________

(In case of females)

Client's Signature	
Client Name	

BügleRock

NAME DECLARATION FORM – THIRD HOLDER

To,

BugleRock Capital Private Limited
Bangalore - 560001

Sub: Declaration of Additional Names as per other valid documents

Dear Sir/Madam,

With regards to captioned subject I / We, Mr. / Ms. ____________________________ is made aware that my / our trading / demat account with BugleRock Capital Private Limited shall be opened in my / our name as per income tax website and the same shall be updated in Regulatory records by BugleRock Capital Private Limited

Besides name as per income tax site, I / We also wish to update / register one of my / our below mentioned additional name in your records which are also acceptable and are valid as per applicable statutes for which necessary documents are provided by me / us.

Name as per Aadhaar: ____________________________

Name as per Bank: ____________________________

Name as per PAN Card: ____________________________

Name as per Voter ID Card: ____________________________

Name as per Passport: ____________________________

Name as per Driving License: ____________________________

Name as per Marriage Certificate: ____________________________

(In case of females)

Client's Signature	
Client Name	

Issue of DIS Booklet

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date	D	D	M	M	Y	Y	Y	Y

DP ID									Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,

BugleRock Capital Private Limited
Bangalore – 560001

Dear Sir / Madam,

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

❑ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with ________________________________(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder / -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Yours faithfully

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

OR

❑ **OPTION 2:**

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

Yours faithfully

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

BügleRock

Acknowledgment of receipt of KYC documents

ACKNOWLEDGMENT OF RECEIPT OF KYC DOCUMENTS

To,

BugleRock Capital Private Limited
Bangalore - 560001

For the purpose of Account Opening, I/ We hereby declare that the details provided on the KRA/KYC page downloaded from KRA System by you, are true and correct till date. 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 We are aware that I/We may be held liable for it.

Trading / Demat Account

I/We hereby acknowledge the receipt of a copy of executed Client Registration Form including KYC details, Tariff sheet, Nomination Registration details, Policies & Procedures, Standard Documents (i.e. Rights & Obligation Document, Risk Disclosure Document, Guidance Note- Dos and Donts.)

I/We aware that Standard Documents are made available on Company Website i.e. https://buglerock.asia/equitybroking/

Signed for and on behalf of	**Trading Account Holder / 1st Holder of Demat Account**	**2nd Holder (Applicable in case of Joint Demat Account)**	**3rd Holder (Applicable in case of Joint Demat Account)**
Name			
Signature			

Place:________________________________ Date: ___________ day of___________ 20______

BügleRock

Client Due Diligence

Client Due Diligence Checklist

1. **Client Categorization**

   ☐ Resident Individual ☐ NRI

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

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

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

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

5. Action taken if the name is found matching

....

....

....

6. Source of Funds / Income Verification

☐ Salary ☐ Business Income ☐ Inheritance ☐ Investment Returns ☐ Others: ___________

Documents Verified: ☐ ITR ☐ Bank Statement ☐ Form 16 ☐ Others: ____________

7. Client Background / Reputation Risk

☐ No adverse news found in public domain

☐ Adverse media alerts found and escalated

Details of verification / news source: ___________________________

Name of Verifying Employee	
Employee Code	
Date Verified	
Signature	

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-764-2024

AMFI registered Mutual Fund Distributor (ARN – 79196)

BügleRock