Trading Account Opening Form -Individual

| Form No. | ClientCode |
|--------------|------------|
| Client Name | |
| RM / SM Name | |

BügleRock

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



IMPORTANT DECLARATIONS BY BUGLEROCK CAPITAL PRIVATE LIMITED

- On May 27, 2025, SEBI granted its approval for the change in the name of the Stock Broker from "o3 Securities Private Limited" to "BugleRock Capital Private Limited."
- > Buglerock Capital Private Limited (formerly known as o3 Securities 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 stockbroker 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 Trading Member | Buglerock Capital Private Limited | | | | |
|---------------------------------------|--|--|--|--|--|
| Corporate Identification Number (CIN) | U67120KA2008PTC047749 | | | | |
| SEBI Broking Registration No. | INZ000291332 | | | | |
| 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 (Broking) | Devender Kumar Pathak | | | | |
| | Mobile No.: + 91 90087 16644 | | | | |
| | Email id: devender.p@buglerock.asia | | | | |
| CEO Name, Phone No. & Email ID | Sudeep Srikantaswamy (Whole Time Director) | | | | |
| | Mobile No.: + 91 98455 39171 | | | | |
| | Email id: sudeep.s@buglerock.asia | | | | |

Disclaimer

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

Investor Complaint Redressal

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

• Address:

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

Email:

For stock broking-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 | National Stock Exchange of India Limited | ignse@nse.co.in | 1800 266 0058 |
| 1 | National Stock Exchange of fittila Eliffited | ignse@nse.co.m | 1000 200 0030 |
| 2 | BSE Limited | isc.mumbai@bseindia.com | 022 2272 8517 |
| | | | |
| 3 | 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.



| | | INDEX OF DOCUMENTS | |
|--------|--|---|-----------------------------|
| Sr. No | Name of the Document | Brief Significance of the Document | Pg No's |
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| 6 | Tariff Sheet – Trading | Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) | 42-45 |
| 7 | FATCA / CRS Declaration | FATCA Declaration for where the client holds tax residency | 46-48 |
| | | STANDARD DOCUMENTS | |
| 8 | Rights & Obligations of Beneficial Owner & Depository Participant | Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories. | copy |
| 9 | Rights & Obligations of Stock Brokers, Sub-Broker & Clients | Document stating the Rights & Obligations of stock broker / trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology-based trading). | Included in the client copy |
| 10 | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities market. | ii. |
| 11 | Guidance note | Document detailing do's and don'ts for trading on the exchange, for the education of the investors. | ıded |
| 12 | Policies and Procedures | Documents describing significant policies and procedures of o3 Securities related to the Trading Account of the client. | Inclı |

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| 13 | Do's and Don'ts for the Investors | Document detailing do's and dont's for trading on exchange, for the education of the investors. | | | |
|----|--|--|-------|--|--|
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| | Technology | Internet Trading - Terms and Conditions | 55-58 | | |
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| 16 | PMLA Guidelines | Document to increase Client awareness of Anti Money Laundering provisions. | 61-64 | | |
| 17 | Declaration With Respect To Legitimate Source Of Funds | Declaration With Respect To Legitimate Source Of Funds | | | |
| 18 | Other documents | Authorisation for Repledge of Shares/ Securities as collateral with Exchange(s)/Clearing Corporation(s) / Clearing Member(s) for any/all segment(s) towards Margin Requirement | 67-68 | | |
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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 | Trading & Demat Account Checklist (Individual / NRI) - ACOP Individual Version | | | | | | ersion |
|---|--|---------|-------|------------------------------|----------------------|------------------------------|-----------------------|
| Required Validation | ID | Details | | Address Details Bank Details | | | 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:

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

^{*}The Proof should be valid on the DATE of agreement.

^{**} The Proof should not be more than 3 months old.



| 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.



| For Office Purpose Only | | | | |
|--|-----------------------------------|--|--------------------------------------|--|
| Client Risk Categorization Under PMLA: □ LOW RISK □ MEDIUM RISK □ HIGH RISK | | | | |
| | For Office Use Only | 7 | | |
| | Tor office esc only | | | |
| 1. Complete Documentation Received: | Yes No If No, gi | ve details: - | | |
| 2. "Verified with Original" Stamp Affixed on Proofs \square Yes \square 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 clients. | available on my/our v | vebsite, if any, for the in | nformation of the | |
| KRA Registrati | on Details (For Offic | e Purpose Only) | | |
| If Client is already registered with KRA/Ck | • | - • · · · · · · · · · · · · · · · · · · | | |
| □NDML □CKYC □CVL □ DOT | TEX Others (Please | Specify) | | |
| (Please furnish photocopy of KRA Registration letter) | | | | |
| KRA Registration No.: | CKYC Regis | stration No.: | | |
| Date of Registration: / / | | | | |
| Date of Registration:///// Note: If any change in the current/existing K | YC record, Broking/ DP | will carry out fresh CKYC a | and KRA | |
| | | For Buglerock Capital | | |
| | | Authoricad Sig | rnotow. | |



Consent Form



Download Consent Form - Sole 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] S/o / D/o / W/o |
| /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. |
| Client's Signature |

Date:

Client Name



APPLICATION FORM FOR TRADING ACCOUNT

BügleRock

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

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
- B) Tick 'V' 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 (\$\sigma\$) 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 | Application Type* | ☐ New | Update | | | | |
|---|-----------------------------|---------------------------------|------------------|-----------------|--------------------------------|------------------------|--|
| (To be filled by financial institution) KYC Number (Mandatory for KYC update request) | | | | | YC 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 | | Mi | ddle Name | Last Name | |
| ☐ Name* (Same as ID proof) | | | | | | | |
| Maiden Name | | | | | | | |
| Father / Spouse Name | | | | | | | |
| Mother Name | | | | | | | |
| Date of Birth* | D D — M M — Y | YYY | | | | | |
| Gender* | ☐ M- Male | F- Female | | T-Transgender | | | |
| PAN* | | | Form 60 | furnished | | | |
| 2. PROOF OF IDENTITY A | ND ADDRESS* (Please re | efer instruction B at th | ne end) | | | | |
| I. Certified copy of OVD or equiv | alent e-document of OVD | or OVD obtained thro | ough digital KYC | C process needs | to be submitted (anyone of the | ne following OVDs) | |
| A- Passport Number | | | | | | □ РНОТО* | |
| B-Voter ID Card | | | | | | □РНОТО | |
| C-Driving Licence | | | | | | | |
| D-NREGA Job Card | | | | | | | |
| | Danistan Lattan | | | | | | |
| E-National Population F F-Proof of Possession of | | | | | | | |
| | oi Addilaal | | | | | | |
| II | | | | | | | |
| III Offline verification of Aa | dhaar | XXXXXX | | | | | |
| Address | | | | | | | |
| Line 1* | | | | | | | |
| Line 2 | | | | | City / Town / Vi | llogo* | |
| 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 ad | ddress details as belo | w need not be p | provided) | | | |
| I. Certified copy of OVD or equiv | alent e-document of OVD | or OVD obtained thro | ough digital KYC | C process needs | to be submitted (anyone of the | ne following OVDs) | |
| A- Passport Number | | | | | | | |
| B-Voter ID Card | | | | | | | |
| C- Driving Licence | | | | | | | |
| D-NREGA Job Card | | | | | | | |
| E- National Population I | Register Letter | | | | | | |
| F - Proof of Possession | of Aadhaar | | | | | | |
| II E-KYC Authentication | | | | | | | |
| III Offline verification of Aa | dhaar | | | | | | |
| IV Deemed Proof of Addre | ss - Document Type code | | VVII | | | | |
| V Self Declaration | | | | | | | |
| Address | | | | | | | |
| Line 1* | | | | | | | |
| Line 2 | | | | | | | |
| Line 3 | | | | | City / Town / Vi | llage* | |
| District* | | Pin / Post Code* | | | State/U.T Code* | ISO 3166 Country Code* | |

Sole Holder BügleRock

| | | | O | | |
|---|---|--------------------------------------|---------------------|--|--|
| 4. CONTACT DET | TAILS (All communications will be sent to Mobile number/ Email- | rovided) (Please refer instruction 0 | C at the end) | | |
| Tel. (Off) | Tel. (Res) | | Mobile | | |
| Email ID | | | | | |
| 5. REMARKS (If | any) | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| 6. APPLICANT I | DECLARATION | | | | |
| 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: DD D MM YYYYY Place: 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 | | | | |
| ŀ | KYC VERIFICATION CARRIED OUT BY | | INSTITUTION DETAILS | | |
| Date | $D \ D \ - \ M \ M \ - \ Y \ Y \ Y$ | 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.
- 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':

| ocument 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 91-999999999).
- 2 Do not add '0' in the beginning of Mobile number.

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

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 |
|--------------------------------------|------|------------------|
| Andaman & Nicobar | AN | Himachal Pradesh |
| Andhra Pradesh | AP | Jammu & Kashmir |
| ArunachalPradesh | AR | Jharkhand |
| Assam | AS | Karnataka |
| Bihar | BR | Kerala |
| Chandigarh | CH | Lakshadweep |
| Chattisgarh | CG | Madhya Pradesh |
| Dadra & Nagar Haveli and Daman & Diu | ı DD | Maharashtra |
| Ladakh | LA | Manipur |
| Delhi | DL | Meghalaya |
| Goa | GA | Mizoram |
| Gujarat | GJ | Nagaland |
| Haryana | HR | Orissa |
| | | |

| 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 tw | vo digit Country Code | | | |
|---------------------------------------|---------|--|---------|---|---------|---|---------|
| Country | Country | Country | Country | Country | Country | Country | Country |
| | Code | | Code | | Code | | 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 | Al | Ethiopia | ET | Malawi | MW | Serbia | RS |
| Antarctica | AQ | Falkland Islands (Malvinas) | FK | Malaysia | MY | Seychelles | SC |
| Antigua and Barbuda | AG | Faroe Islands | FO | Maldives | MV | Sierra Leone | SL |
| Argentina | AR | Fiji | FJ | Mali | ML | Singapore | SG |
| Armenia | AM | Finland | FI | Malta | MT | Sint Maarten (Dutch part) | SX |
| Aruba | AW | France | FR | Marshall Island | MH | Slovakia | SK |
| Australia | AU | French Guiana | GF | Martinique | MQ | Slovenia | SI |
| Austria | AT | French Polynesia | PF | Mauritania | MR | Solomon Island | SB |
| Azerbaijan | AZ | French Southern Territories | TF | Mauritius | MU | Somalia | SO |
| Bahamas | BS | Gabon | GA | Moyotte | YT | South Africa | ZA |
| Bahrain | ВН | 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 NL | Tanzania, United Republic of | TZ |
| Brazil | BR | Guyana | GY | New Caledonia | NC | Thailand | TH |
| | IO IO | Haiti | HT | New Zealand | | Timor-Leste | TL |
| British Indian Ocean Territory | | | | | NZ | | |
| 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 | | Reunion !Reunion | RE | Virgin Island, U.S. | VI |
| Croatia | HR | Korea, Republic of | KR | Romania | RO | Wallis and Futuna | WF |
| | CU | Kuwait | KW | Russian Federation | RU | Western Sahara | EH |
| Cuba | | | | | | | |
| 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 | | |



TRADING ACCOUNT RELATED DETAILS



PART II - ACCOUNT OPENING FORM - MANDATORY

Buglerock Capital Private Limited

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

| A. RIS | K PROF | FILE QUESTIONNAIRE & ASSESSMENT | | | |
|---|-------------|---|-------------|---------|---|
| For Se | lf-Asses | ssment Purposes Only – No Advisory Services Rend | lered | | |
| Bugler | ock Cap | ital Private Limited is a SEBI-registered Stock Broker | offering on | ly exec | cution services. This questionnaire |
| _ | - | ely to help clients assess their own risk tolerance. We | U | • | - |
| produc | ct recom | mendations under Stock Broking License. | | | |
| We red | commen | d that you answer the questionnaire without any inpu | ıts from yo | ır Bug | leRock Capital Sales Representative |
| | | (Please tick any 1 option among | those pres | ented) | |
| | | Risk Assessmen | nt | | |
| | | anding of investments and financial products is best | | | following statements would be |
| describ | oed as(si | ngle select, 1st option default, mandatory) | representa | ative o | f your risk appetite? |
| | A | I do not understand anything about | | A | I would not be comfortable losing |
| | | investment products | | | more than 10% |
| | В | I have fair knowledge of investment products | | В | I would not be comfortable losing |
| | | including managed solutions, MFs, etc. | | | more than 25% |
| | C | I understand complex products also | | C | I would be comfortable losing |
| | | (eg. Derivatives) | | | more than 10% |
| 3. Wha | it is the s | source of your income? (Single select, no default, | 4. As a per | rcenta | ge of your overall financial portfolio, |
| manda | tory) | | what wou | ld be t | he extent of your current borrowings |
| | A | Inheritance / Gift / Sale of Business | | A | >50% |
| | В | Interest & dividends on existing investments/ | | В | 10-50% |
| | | rental income | | | |
| | C | Salaried/ Self-employed/professional income/ | | C | 0-10% |
| | | regular business income/ Royalty | | | |
| Client categorization based on risk assessment and investment | | | | | X 10 = |
| objecti | ves ques | stionnaire: | | | |
| □ Conservative - Score <=40 | | | | | X 20 = |
| | | | | | |
| | | Score >40 -80 | No of C | | X 30 = |
| ⊔ Agg | ressive - | - Score >80.) | | | |
| | | | 1 | Ī | DO 4 1 |

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

Important Disclaimer

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

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



| B. ADDITIONAL INFORMATION FOR TRADING ACCOUNT (Please fill this form in ENGLISH and in BLOCK LETTERS) 1. TRADING PREFERENCE | | | | | | |
|---|--|------------------------------------|------------------------------------|--------------------------------------|--|--|
| Please sign in the relevant | boxes where you wish | to trade. Please strike off | the segment not chosen by | you. | | |
| Exchanges | NSE | NSE | BSE | BSE | | |
| All segments in equity | Cash | F&O | Cash | Mutual Fund | | |
| (Trading | (Trading | (Trading | (Trading | (Trading | | |
| Holder | Holder | Holder | Holder | Holder | | |
| Signature) | Signature) | Signature) | Signature) | Signature) | | |
| 4 | 4 | 1 | 1 | 1 | | |
| Date of consent for tr | ading in F&O Segn | nent | DD/MM | / Y Y Y Y | | |
| If, you do not wish to trade in any of segments/Mutual Fund, please mention here: - | | | | | | |
| If in future, you want to submitted to Buglerock | to trade on any new Capital Private Limite | segment/ new exchanged | ge, separate authorisatio | n/ letter should be | | |
| 2 DOCUMENTARY | EVIDENCE OF FINA | NCIAL DETAILS FOR | DEDIMATINE OF ITAIT | C (MAND ATODY DI | | |
| CASE OF DERIVATI | VES TRADING) (Any | One) | DERIVATIVE CLIENT | | | |
| ☐ Copy of ITR acknow | | | account statement for last | t 6 months | | |
| ☐ Copy of annual acco | | 17 | of Form 16 | | | |
| | unt holding statement | ☐ Salary t of assets ☐ Self dec | sup claration with relevant su | nnarting documents | | |
| 1 0 | locuments substantiat | | iaration with relevant su | pporting documents | | |
| Gross Annual Income | | | | | | |
| Details: (Please | a) Income Range pe | | _ | | | |
| specify) | ☐ Below Rs.1,00,00 | | | 1 to Rs.10,00,000 | | |
| specify) | Specify) \square Rs.10,00,001 to Rs.25,00,000 \square More than Rs.25,00,001 | | | | | |
| | | (| OR | | | |
| | b) Net worth Rs | | as on DD/MM | I/YYYY | | |
| | , | | Net worth should not be | older than one year) | | |
| Occupation | ☐ Private / Public | | | ☐ Professional | | |
| | ☐ Agriculture | \square Retired | ☐ Housewife | \square Student | | |
| Nature of Business | Others (Specify) | | / T 1' | □ F D1 | | |
| Nature of Business | | ☐ Gems & Jewellery ☐ N | | ☐ Forex Dealer ☐ Service Industry | | |
| | | | Manufacturing Arms Manufacturer | ☐ Pawn Broker | | |
| | ☐ Others (Specify) | | Affilis Manufacturer | □ rawii biokei | | |
| | □ others (opeciny) | | | | | |
| 3. DEPOSITORY ACCO | OUNT DETAILS (App | licable in case of Non Bugler | ock Capital Private Limited D | emat Account) | | |
| Depository Participant N | | lienote in enoc of 1 (on 2 agree) | oen capital i i i ate zimitea z | <u> </u> | | |
| Depository Address | | | | | | |
| DP ID | | | | | | |
| Client ID | | | | | | |
| Beneficiary Name | | | | | | |
| Proof of DP Submitted | | | | | | |
| 1. Client's name & DP | A/c No. on the proof | of DP submitted should | match with that mention | ed in the account | | |
| Client's name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form. | | | | | | |
| 2. DP statement should | 2. DP statement should clearly show DP ID & Client ID. | | | | | |
| 3. In the case of NRI's, proof of Demat Account should be only with NRI status | | | | | | |



| 4. AADHAAR DECLARATION | | | | | | | |
|--|------------|--|---------|--|----------|--|--|
| Consent to share Aadhaar details: ☐ Yes ☐ No | | | | | | | |
| Aadhaar number: | | | | | | | |
| X | х х | Х | Х | T | Ţ | | |
| | • | | | | | | |
| | | | | | | | |
| | | | | | | 4 | |
| I/We hereby provide my/our conser | nt in acco | rdance | e with | Aadh | aar Ac | ct, 2016 and regulations made there under, for (I) | |
| collecting, storing and usage (ii) valid | dating/au | ıthenti | cating | g and (| (iii) up | pdating my/our Aadhaar number(s) in accordance | |
| with the Aadhaar Act, 2016 (and regu | | | | | | | |
| 5. DEALINGS THROUGH AUTHO | RISED PI | ERSON | I AND | OTH | ER ST | OCK BROKERS | |
| Authorised Person's Code | | <u> </u> | | | | | |
| Name: | | | | | | | |
| Address. | | | | | | | |
| Address: | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | Declara | tion R | egard | ing De | ealings | s with Other Stock Brokers | |
| | | Please confirm whether you are currently dealing with any other Stock Broker(s). | | | | | |
| | If you a | re eng | gaged ' | with r | multip | ple Stock Brokers, kindly provide the details of all | |
| | such Sto | ock Br | okers, | inclu | ding th | their names and associated trading accounts. | |
| Name of Stock Broker | | | | | | | |
| Natile of Stock Dioker | | | | | | | |
| | | | | | | | |
| Client Code | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Exchange | | | | | | | |
| Details of disputes/dues pending | | | | | | | |
| from/to such stock | | | | | | | |
| broker/Authorised Person: | | | | | | | |
| | | | | | | | |
| 6. Additional Details | | | | | | | |
| Educational Qualification | | | | | Under | er Graduate | |
| | | | | | Gradu | | |
| | | | | | | Graduate | |
| Please tick, if applicable: | | | | _ | | essional | |
| 1 rease tien, it applicable. | | | | ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) | | | |
| | | | | | None | | |
| Whether you wish to receive: | | | | | Physic | ical Contract Note □ Electronic Contract Note (ECN) | |
| Specify your Email id, if | | | | | | | |
| applicable: | | | | | | If Onting For ECN please specify your Email id | |



| Experience | | | □ Number of ye | ears of Investment /Trading Experience: | | |
|---|-------------------|---------------------|-------------------|---|--|--|
| | | | ☐ No Experience | re | | |
| 7 DACT ACTION | | | | | | |
| 7. PAST ACTION | | | | | | |
| | r its Partners/pr | | | exchange/any other authority against the thorized persons in charge of dealing in | | |
| P | articulars | Name (| of Authority | Month & Year of Action | | |
| | | | | | | |
| | | | | | | |
| 8. INFORMATION PROVI | IDED BY THE CLIEN | T IN RELATION TO | THE PREVENTION | N OF MONEY LAUNDERING ACT, 2002 | | |
| Funds Detail | Do you intend to | invest in the Stock | ĸ Market with □ | Own Funds □ Borrowed Funds | | |
| | In case of Borroy | wed Funds, please | specify the sourc | ces of funds: | | |
| | | | | | | |
| 9. INTRODUCER'S D | DETAILS | | | | | |
| Status of Introducer | | | □ Existing Acc | ng Account Holder | | |
| Status of Introducer | | | | | | |
| | | | | Capital Employee | | |
| | | | ☐ Any Other I | Person | | |
| Introducer Name | | | | | | |
| Introducer Address | | | | | | |
| City | | | | | | |
| State | | | | | | |
| Occupation | | | | | | |
| Pan Number | | | | | | |
| Designation (for Buglerock Employee only) | | | | | | |
| Employee Code (for Buglerock Employee only) | | | | | | |
| Email Id | | | | | | |
| Signature of the Intro | ducer | | | | | |
| | | | | | | |



Bank Account Details For Trading 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 TRADING 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 | l 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 | |
| Name of the person to give Trade Instruction | |
| Relationship with the Applicant | |



BANK ACCOUNT DETAILS FOR TRADING ACCOUNT

| Bank Account Detail (PIS): | | | |
|--|--|--|--|
| | | | |
| Bank Name | | | |
| | | | |
| Branch Address | | | |
| | | | |
| | | | |
| City | | | |
| Pin Code | | | |
| State | | | |
| Country | | | |
| Telephone No | | | |
| Bank Account Number | | | |
| IFSC Code | | | |
| MICR Code | | | |
| I and the second | | | |







Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

| Client Name | |
|--------------------|----------|
| | |
| Client's Signature | |
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| | |
| | <i>3</i> |



Most Important Terms and Conditions (MITC) (Contd....)

(For non-custodial settled trading accounts)

10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

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

Yours faithfully,

| Client Name | |
|--------------------|--|
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| | |
| Client's Signature | |
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GOOD TILL CANCELLED/GOOD TILL TRIGGERED ORDERS

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

| Client Name | |
|--------------------|----------|
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| Client's Signature | |
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GOOD TILL CANCELLED/GOOD TILL TRIGGERED ORDERS (Contd...)

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

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

Terms and Conditions

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

Yours faithfully,

| Client Name | |
|--------------------|----------|
| | |
| Client's Signature | |
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| | |
| | 4 |



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

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

Objective and scope:

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

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

• Through BugleRock Capital Private Limited Website

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

• Email from the client registered Email id

Client can send an email from their registered email id provided at the time of account opening on stoptrade@buglerock.asia

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

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

| Scenario | Timelines for issuing acknowledgement as well as freezing/ blocking of the online |
|--|---|
| | access of the trading account. |
| Request received during the trading hours1 and within 15 mins before start of trading. | Within 15 Mins |
| Request received after the trading hours and 15 min before the start of trading | Before the start of next trading session |

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

| Client Name | |
|--------------------|---|
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| C1: 11 C: 1 | |
| Client's Signature | |
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FACILITY PROVIDED TO CLIENTS FOR VOLUNTARY FREEZING/BLOCKING ONLINE TRADING ACCOUNT (Contd...)

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

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

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

Risk Management

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

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

1. To unfreeze account, client can send an email request to helpdesk@buglerock.asia

Reference:

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

| Client Name | |
|--------------------|----------|
| Client's Signature | |
| | / |



CLIENT DECLARATION

BügleRock

Client Declaration

I/We hereby declare that the information provided above is true, correct, and complete to the best of my/our knowledge and belief. I/We undertake to promptly notify you of any changes or updates to the information furnished herein. I/We understand that if any information provided is found to be false, inaccurate, misleading, or misrepresented, I/We shall be held responsible and liable for the consequences thereof.

- i. I/We confirm having received a copy of the following documents and further confirm having read and understood the contents of these documents: -
 - Rights and Obligations of Stock Brokers, Sub-Brokers and Clients as prescribed by SEBI and Stock Exchanges
 - Risk disclosure Document for Capital and Derivatives Segment
 - Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for Investors
 - Policies and Procedures applicable to clients.

I/We further confirm that I/We have read, or have been explained, and understood the contents of the stock broker's:

- Policy and Procedures Document
- Tariff Sheet
- Voluntary and Non-Voluntary Documents

I/We agree to be bound by the provisions contained in the aforementioned documents. I/We acknowledge being informed that the standard set of documents is available for reference on the designated website of the stock broker.

I/We understand that any amendments to these documents, including the **Policies and Procedures**, will be made available on the website of **Buglerock Capital Private Limited** and will also be communicated to me/us through circulars via the internet trading platform or e-mails. I/We shall ensure that I/We remain updated with such changes.

- ii. I/We hereby declare that I/We have read, understood, and agree to abide by the rules, regulations, and guidelines prescribed by the Depository and its Participants, as applicable to my/our account and as amended from time to time.
- iii. In the case of a non-resident account, I/We hereby declare that I/We have complied with, and shall continue to comply with, the applicable regulations under the Foreign Exchange Management Act (FEMA). I/We have informed the Bank of my/our intention to trade through **Buglerock Capital Private Limited** and have requested the Bank to honor all relevant instructions. I/We understand and acknowledge that if the Bank account is not duly mapped or linked to **Buglerock Capital Private Limited** as my/our registered stock broker, **Buglerock Capital Private Limited** shall not be held responsible for any defaults, delays, or issues arising therefrom.
- iv. 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.



Client Declaration (Contd...)

v. I/We hereby declare that the Goods and Services Tax (GST) details provided to the stock broker are true, correct, and supported by valid proof of the GST number. In the absence of furnished GST details, it shall be deemed that I/we am/are not registered under GST.

In case of any change in my/our correspondence address, I/we undertake to promptly notify the stock broker. Until such intimation is received, GST shall be levied based on the address available in the broker's records.

I/We understand that the stock broker shall not be held responsible for any non-receipt or short receipt of GST credit arising from incorrect, inaccurate, or incomplete information provided by me/us. Any loss, damage, cost, or expense incurred by the stock broker due to non-reversal of GST credit, false statements, suppression of facts, or any breach on my/our part shall be solely my/our responsibility and shall be borne by me/us.

| | Sole Holder |
|---------------------|-------------|
| Client | |
| Name | |
| Client | |
| Client Signature | 4 |



Nomination Form



NOMINATION FORM

To, Buglerock Capital Private Limited Bangalore - 560001

I wish to make a nomination. [As per details given below]

Dear Sir / Madam

Nomination Details

Nomination Details

| Date | | | | |
|-------------------|--|--|--|--|
| UCC / Client Code | | | | |

| | | nination and do hereby no ir account in the event of m | | ing person(s) who | shall receive all the |
|------|----------------------|---|-------------------|---------------------|-------------------------|
| asse | ets field in my / ou | ir account in the event of in | iy / our deam. | | |
| No | mination can be m | ade upto three nominees | Details of 1st | Details of 2nd | Details of 3rd |
| in t | he account. | | Nomine | Nominee | Nominee |
| 1 | Name of the non | ninee(s) (Mr./Ms.) | | | |
| 2 | Share of each | Equally | % | % | 0/0 |
| | Nominee | [If not equally, please | | | |
| | | specify percentage] | Any odd lot after | division shall be t | ransferred to the first |
| | | | nominee mentione | d in the form. | |
| 3 | Relationship Wit | th the Applicant (If Any) | | | |
| 4 | Address of Nom | inee(s) | | | |
| | City / Place: | | | | |
| | State & Country: | | | | |
| | | PIN Code | | | |
| | | | | | |
| 5 | Mobile / Telepho | one No. of nominee(s) | | | |
| | | | | | |
| 6 | Email ID of nom | inee(s) | | | |
| 7 | Nominee Identif | ication details - | | | |
| | [Please tick any o | ne of following and | | | |
| | provide details of | f same] | | | |
| | □ Photograph & S | Signature | | | |
| | □ PAN | | | | |
| | □ Aadhaar | | | | |
| | ☐ Saving Bank ac | count no. | | | |



| | □ Proof of Identity | | | |
|----------------------|--|-------------------|--------|---|
| | □ Demat Account ID | | | |
| Sr. | Nos. 8-14 should be filled only if nominee(s |) is a minor: | | |
| 8 | Date of Birth {in case of minor | | | |
| | nominee(s)} | | | |
| 9 | Name of Guardian (Mr./Ms.) {in case of | | | |
| | minor nominee(s) } | | | |
| 10 | Address of Guardian(s) | | | |
| | City / Place: | | | |
| | State & Country: | | | |
| 11 | Mobile / Telephone no. of Guardian | | | |
| 12 | Email ID of Guardian | | | |
| 13 | Relationship of Guardian with nominee | | | |
| 14 | Guardian Identification details - [Please | | | |
| | tick any one of following and provide | | | |
| | details of same] | | | |
| | □ Photograph & Signature | | | |
| | □ PAN | | | |
| | $\hfill\Box$ Aadhaar Saving Bank account no. | | | |
| | □ Proof of Identity | | | |
| | □ Demat Account ID | | | |
| Name(s) of holder(s) | | Signature(s) of h | older* | |
| Sole | e / First Holder (Mr./Ms.) | | | |
| | | | | 4 |

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any. The Trading Member shall provide acknowledgement of the nomination form to the account holder(s)

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



NOMINATION FORM

Declaration Form for Opting Out of Nomination

To, Buglerock Capital Private Limited Bangalore - 560001

| Date | | | | |
|-------------------|--|--|--|--|
| UCC / Client Code | | | | |

| Sole/First Holder Name | |
|---|--|
| I / We hereby confirm that I / We do not wish to | appoint any nominee(s) in my / our trading / demat |
| account and understand the issues involved in nor | n-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 hel | ld in my / our trading / demat account, which may also |
| include documents issued by Court or other such | competent authority, based on the value of assets held |
| in the trading / demat account. | |
| Name(s) of holder(s) | Signature(s) of holder* |
| Sole / First Holder (Mr./Ms.) | |
| | |
| | <i>f</i> |

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



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

| | Sole Holder |
|------------------|-------------|
| Client Name | |
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| | |
| Client Signature | |
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CONSENT FOR RECEIVING SMS / EMAIL ALERTS FROM CONCERNED STOCK EXCHANGES

| I/V | Ve hereby expres | s my/our intent to avail the SMS and/or Email alert facility provided by the |
|------|----------------------|---|
| res | pective Exchange | es. |
| | | |
| Thi | s facility will allo | ow me/us to receive details of the transactions executed in my/our trading account |
| wit | h Buglerock Cap | ital Private Limited on a daily basis. |
| - /- | | |
| 1/ V | Ve confirm and a | cknowledge the following: |
| 1. | The SMS and/o | r Email alerts will be sent to the Email ID and/or Mobile Number registered in my/ |
| | our Know Your | Client (KYC) records, as maintained with Buglerock Capital Private Limited. |
| 2. | I/We understar | nd that it is my/our responsibility to ensure that the Email ID and/or Mobile Number |
| | provided in the | KYC form are accurate and updated at all times. Any changes to the registered |
| | contact details v | vill be communicated promptly to Buglerock Capital Private Limited to ensure |
| | uninterrupted r | eceipt of alerts. |
| 3. | I/We agree that | these alerts are provided by the respective Exchanges as a mechanism to enhance |
| | transparency ar | nd provide timely transaction information. However, the accuracy of such alerts may |
| | be subject to Exc | change systems and processes. |
| 4. | I/We understar | nd and accept that the alerts will contain information specific to my/our daily |
| | transaction deta | ils and shall not serve as a confirmation of trade execution or settlement obligations. |
| 5. | I/We indemnify | Buglerock Capital Private Limited and the respective Exchanges against any |
| | liability arising | from the misuse, non-receipt, or delay of such alerts caused by any technical, |
| | network, or oth | er issues beyond their control. |
| | | |
| Kir | ndly proceed witl | n enabling the SMS and/or Email alert facility as per the terms mentioned above. |
| | | |
| | SMS □ EMAIL | □ BOTH |
| | | |
| (Th | e above facility i | s provided by Exchanges / Depositories will be activated once the details are verified |
| by | Exchanges confir | rmed by you) |
| | | Sole Holder |
| C | lient Name | |
| | | |
| C | lient Signature | |
| | | |



Tariff Sheet



TARIFF SHEET - TRADING (MANDATORY)

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

| *EQUITY CASH SE Offline | | | | Online (Not applicable | a for NRI clients) | |
|----------------------------|---------------|--------------------|--------|---|---|--|
| Delivery Brokerage | Daily Volume | Intraday Brokerage | | Online (Not applicable for NRI clients) Delivery Brokerage Intraday Brokerage | | |
| 0.50% | 0-25 Lac | 0.05% | je | 0.3% | 0.03% | |
| 0.50% | | | | 0.5% | 0.03% | |
| | 25-50 Lac | 0.04% | | | | |
| | 50 Lac - 1 Cr | 0.035% | | | | |
| | 1 Cr & Above | 0.03% | | | | |
| *DERIVATIVE SEG | MENT | | | | | |
| Stock Futures | | Index Futures | | Brokerage for physical derivatives shall be san delivery segment. | | |
| 0-25 Lac | 0.05% | 0-10 Lac | 0.05% | Futures | Equity Options (Lot wise for Stock Index) | |
| 25-50 Lac | 0.04% | 10-50 Lac | 0.04% | 0.01% | Rs 50 per lot | |
| 50 Lac - 1 Cr | 0.035% | 50 Lac to 2 Cr | 0.03% | Minimum Brokerage | of Online trades. | |
| 1 Cr & Above | 0.03% | 2 Cr to 5 Cr | 0.025% | Rs 20/- per contract or whichever is higher. B maximum of Rs 0.25 p or 2.5% of the contract debenture whichever i | oth subject to er share / debenture price per share/ | |
| | | 5 Cr and Above | 0.02% | In case the contract no post then Rs 20/- per of per share whichever is subject to maximum of debenture or 2.5% of the share / debenture whi | ontract or 5 paise higher. Both f Rs 0.25 per share/ ne contract price per | |
| Options (Lot wise) | | | | Minimum Brokerage trades. | of derivative segmen | |
| Intraday | | Carry Forward | | Rs 50/- per order for every off line order (executed) using the branch set up in F&O segment. | | |
| Rs 150 per lot | | Rs 200 per lot | | Both subject to maximum of 2.5% of premium amount or Rs 100 per lot for offline trade and Rs 50 per lot for online trade whichever is higher. | | |

| | Sole Holder |
|------------------|-------------|
| Client Name | |
| Client Signature | |



TARIFF SHEET - MANDATORY

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

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

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

^{*}All charges are exclusive of taxes, Levies and other statutory charges

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

Notes:

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

| | Sole Holder |
|------------------|-------------|
| Client Name | |
| Client Signature | <i>f</i> |



TARIFF SHEET - MANDATORY

Notes (Contd...)

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

| | Sole Holder |
|------------------|-------------|
| Client Name | |
| Client Signature | 1 |



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 | | | | | | | | | | | | |
|---|-------------------|--|-----------|--------------------|---------------------|--|--------|--|--|-----------------|------|----------|
| | | | | | -1 | 1 | ı | | | | | |
| | older / Holder | | | | | | | | | | | |
| Address [for address] | Type KYC | ☐ Residential ☐ Registered Office ☐ Business | | | | | | | Indian ☐ US Others (please specify) | | | |
| Place of B | Birth | | | | Cou | Country of Birth | | | | | | |
| Income in INR Net Wo INR. In | | ☐ Below 1 Lakh ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs - 1 Cr ☐ > 1 Crore dd-mm-yyyy | | | Deta tick | Occupation Details [Please tick any one (√)] | | □ Business Professional □ Public Sector □ Private Sector □ Government Service □ Agriculturist □ Housewife □ Student □ Retired □ Forex Dealer | | | | |
| Date [Opt | tional] | | | | | | | | | | | |
| Politically Exposed [PEP] | | ☐ Yes ☐ Related to PEP ☐ Not Applicable | | | | ot mation plicable] | ther | [Please specify] | | | | |
| Are you a | tax reside | ent (i.e. are | you asses | sed for T | ax) in any | other cou | ntry o | other | than India | a? □ Yes l | □ No | |
| If 'Yes', pl | | | | | | | | | | | | nere vou |
| are a Citize | | | , | | • | • | | | | 1 1 | | J |
| S. No. | | Country | | Nur (TIN Fun | ntification mber | Type [TIN | · - | | If TIN is not available, please tick ☑ the reason A, B or C [as defined below] | | | |
| 1 | | | | | | | | | Reason □ A □ B □ C | | | |
| 2 | | | | | | | | | | $\Box A \Box B$ | | |
| ➤ 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:-

| | Sole Holder |
|-----------|-------------|
| Client | |
| Name | |
| Client | |
| Signature | / |



Voluntary Documents



AUTHORIZATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE - VOLUNTARY

To,

Buglerock Capital Private Limited Bangalore - 560001

Dear Sir / Madam,

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

| Email Id | |
|----------|--|
| | |

I/We further hereby consent to the following:

- i. That the Member/Depository Participant shall fulfill its legal obligation if the aforesaid documents are sent electronically to the above e-mail id.
- ii. I/We shall communicate the change in e-mail id, if any, to you through a duly signed physical letter.
- iii. I/We undertake to check contract notes/ monthly DP holding and transaction statements, bills on regular basis and bring the discrepancies to your notice preferably within 48 hours of the execution of the trade or on receipt of the said statements.
- iv. Non verification or not accessing the contract notes/ DP holding cum transaction statements on regular basis from my/our part shall not be a reason for disputing the contract note or the DP holding or transaction statements at any time.
- v. That Member/ Depository Participant will not be responsible for non receipt of documents sent via electronic delivery due to change in email address as mentioned above or for any other reason which inter alia include the malfunction of my/our computer system/server/internet connection etc.
- vi. That the non-receipt of bounced mail notification by Buglerock Capital Private Limited shall amount to delivery of the documents at my/our E-mail ID.
- vii. That the Member 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 am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
 - ix. I am aware that the Member has to provide electronic contract note for my convenience on my request only.
 - x. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
 - xi. My email id is ______. This has been created by me and not by someone else.
- xii. Digital Contract notes will also be available at URL https://buglerock.asia/equitybroking/ (Web link for client login).



AUTHORIZATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE - VOLUNTARY (Contd...)

- xiii. Clients can view the Digital Contract notes on URL by using the username & password.
- xiv. The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note and do hereby take full responsibility for the same.

| | Sole Holder |
|------------------|-------------|
| Client Name | |
| Client Signature | 1 |

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

| To, | |
|---|---------------|
| Buglerock Capital Private Limited Bangalore - 560001 | |
| Dear Sir/Madam, | |
| Subject: Running Account Authorization. | |
| Ref: My LICC Code: | Client Name:- |

- i. I/We hereby authorize you to release the funds due to me/us in my/our account, arising from transactions executed through you, on a running account basis instead of a settlement-to-settlement basis. This authorization is granted to facilitate ease of operations.
- ii. I/We request you to maintain the running balance in my/our account(s) and retain any credit balance in such accounts. The retained funds may be utilized towards meeting my/our margin, pay-in obligations, or any other future obligations across any segment(s) of any or all exchange(s), in accordance with margin requirements specified by the exchanges. This request is made to ensure operational efficiency and compliance with the upfront margin requirements for trades.
- iii. I/We agree to the periodic settlement of my/our account as per the provisions mentioned herein, excluding:
 - a. Funds provided as collateral or margin in the form of Bank Guarantees or Fixed Deposit Receipts.
 - b. Clients availing margin trading facilities.
- iv. a. The running account of funds shall be settled on a quarterly basis after considering the End of Day (EOD) fund obligations as of the settlement date.
 - b. The settlement shall occur on the first Friday of each quarter (i.e., Apr-Jun, Jul-Sep, Oct-Dec, Jan-Mar). If the first Friday is a trading holiday, the settlement shall occur on the preceding trading day.
 - For example, settlements will occur on the first Friday of October 2022, January 2023, April 2023, July 2023, and so forth.
- v. a. Brokers shall provide clients the option to choose between quarterly or monthly settlement of running accounts.
 - b. For clients opting for monthly settlement, the running account shall be settled on the first Friday of every month. If the first Friday is a trading holiday, the settlement shall occur on the preceding trading day.
- vi. a. If I/We have any outstanding trade positions on the scheduled settlement date, you may retain funds as per the retention criteria specified in SEBI Circular SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated June 16,2021.
 - b. The retention statement, along with the statement of running account, shall be sent to me/us within five working days from the date of settlement
- vii. a. Pay-in obligations of funds outstanding as of T-day and T-1 day.
 - b. Margin liabilities, including additional margins, up to 125% of the total margin liability across all segments, with a maximum retention of 225% of the total margin liability.



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

- viii. Funds received from clients whose running accounts have been settled shall remain in the "Upstreaming Client Nodal Bank Account" and shall not be used to settle obligations of other clients.
 - ix. a. The running account shall be deemed settled only upon the actual transfer of funds to my/our bank account.
 - b. Journal entries shall not constitute settlement, except for the levy or reversal of charges.
 - x. a. For clients with a credit balance who have not traded in the last 30 calendar days, the entire credit balance shall be settled on the next scheduled settlement date.
 - b. If the client resumes trading after 30 days but before the settlement date, the account shall continue to be settled as per the client's chosen preference (quarterly or monthly).
- xi. In the case of settlement through physical payment instruments (cheque or demand draft), the date of realization of the instrument into my/our bank account shall be considered the settlement date.
- xii. a. Upon settlement of the running account, intimation shall be sent to me/us via SMS on the registered mobile number and email on the registered email ID provided at the time of account opening.
 - b. The intimation shall include transaction details (e.g., transaction number and date for electronic transfers, or instrument number and date for physical instruments).
- xiii. In the event of any dispute arising from the statement of account or the settlement of funds, I/We shall bring the same to the notice of the Trading Member (Buglerock Capital Private Limited) within 30 trading days from the receipt of the funds or statement, as applicable.
- xiv. I/We hereby indicate my/our preference for the periodic settlement of funds (tick the appropriate choice):

| ☐ Once in a calendar Month | ☐ Once in the calendar Quarter | | |
|--|--------------------------------|--|--|
| (If no check box is selected, the settlement will be done Quarterly) | | | |

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

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

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

| | Sole Holder |
|---------------------|-------------|
| Client Name | |
| Name | |
| Client | |
| Client Signature | <i>f</i> |



LETTER FOR SECURITIES TRADING USING INTERNET & WIRELESS TECHNOLOGY - VOLUNTARY

| То, | |
|---|--|
| Buglerock Capi Bangalore - 5600 | tal Private Limited 001 |
| Sub: Securities t | trading using Internet & wireless technology (incl. trading through mobile application). |
| Dear Sir / Mada | am, |
| trade through I | registered as your client having trading code: wish to nternet & wireless technology (including trading through mobile application) in the NSE segment and BSE cash. |
| shall include de | Interested in carrying securities trading through use of Internet & wireless technology which evices such as mobile phone, PC's & laptop with data card etc. using internet protocal (IP) h mobile application. |
| to securities tra the possible risk party and the r | Indicate that the terms and conditions applicable to internet-based trading will also be applicable ding through use of wireless technology. I/ we am/are made aware by you regarding all ks including risk of misuse and unauthorized use of username and or password by a third isk of a person hacking into our account on your ITORS system and, responsibilities and ated with securities using Internet & wireless technology. |
| and/ or userna | fully liable and responsible for any and all unauthorized use and misuse of our password me and also for any and all acts done by any person through your ITORS system on our y manner whatsoever. |
| - | nfirm you to send my/ our username and password on my/ our registered e-mail addressand therefore request you to enable me/ us for carrying securities trading |
| | Internet & wireless technology (Including trading through mobile Application). |
| | Sole Holder |
| Client Name | |
| Client Signature | |



The Stock Broker offers and/or proposes to offer the Internet Trading Service through Finspot application to its Clients; and the Client desires to avail the internet trading service for purchasing, selling or otherwise dealing in securities subject to the terms and conditions set out herein the client shall be deemed to have read, understood and agreed to the following terms and conditions in the event the Client avails the Internet Trading service provided by the Stock Broker through _______ Application:

1. DEFINITIONS:

- 1.1 In these terms and conditions (including the recitals above), unless the context otherwise requires the following words shall have the following meanings:
 - a. "Exchange Provisions" means the Rules, Byelaws, Regulations, Business Requirements, specification, handbooks, notices, circulars and resolutions of the exchange or any segments of the Exchange in force from time to time.
 - b. "Internet Trading" means Internet based Trading through Order Routing system, being a system approved by the Exchange for enabling clients to route their order to Stock Broker over the internet.
 - c. "Internet Trading Account Application "means the Client Registration form along with the other supporting documents submitted by the Clients to the Stock Broker to permit the Client to avail of the Stock Broker's Internet Trading Service.
 - d. "Internet Trading Service" or "Service" means the service offered by the Stock Broker as approved by the Exchange(s) to its clients through Internet Trading where under the clients can route their orders for purchase, sale and other dealings in Securities though the Stock Broker's Internet Trading System as approved by the Exchange(s).
 - e. "Password" means an alphanumeric code used by the Client to validate his/her username and accesses the Service
 - f. "Username" means an alphanumeric login identification used by the Client for accessing the Service.

2. INTERNET TRADING SERVICE

The Stock Broker provides the internet Trading Service to the Client subject to these terms and conditions and the provisions of the rights & obligations of stock broker, the exchange provisions, SEBI guidelines and the terms of the Website through which Internet Trading Service is provided. The Stock Broker shall be entitled to / alter these terms and conditions and such changes will be highlighted on the trading terminal and such acceptance by the client will be deemed to be a notice. The use of Internet Trading acceptance by the Client of said terms and conditions including any modifications / alteration thereto.



3. USER NAME AND PASSWORD

- 3.1 The Client will be entitled to a username and password, which will enable him to access the Stock Broker's Internet Trading Website for availing of the Internet Trading Service.
- 3.2 The Client is aware that the Stock Broker's Internet Trading Website itself generates the initial password encrypts and passes on the password to the client. The Client agrees and undertakes to immediately change his initial password upon receipt thereof and subsequently to change his password with the period stipulated by the Stock Broker. The Client is aware that subsequent passwords are not known or available to the Stock Broker.
- 3.3 The Client shall be responsible for keeping the username and password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock Broker's Internet Trading Website using the Client's Username and/or password whether or not such person was authorized to do so.
- 3.4 The Client shall immediately inform the Stock Broker of any unauthorized use of the Client's Username or Password with full details or such unauthorized use including the date of such unauthorized use, the manner in which it was unauthorized used, the transactions effected pursuant to such unauthorized use etc.
- 3.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorized use of his username and/or password by a third party and the risk of a person hacking into the Client's account on the Stock Broker's Internet Trading Website and unauthorized routing orders on behalf of the Client through the System. The Client shall be fully liable and responsible for any and all unauthorized use and misuse of his password and/or username and also for any and all acts done by any person through Stock Broker's Internet Trading Website on the Client's username in any manner whatsoever.
- 3.6 The Client undertakes to ensure that the password of the Client and/or his authorized representative are not revealed to any third party since authentication technologies and strict security measures are required for the internet trading though order routed system.
- 3.7 The Client shall log off from the Stock Broker Internet Trading Website at any time the Client is not accessing or using the Internet Trading service and any liability incurred to the Client as a consequence of the Client not logging off the service shall borne solely by the Client.
- 3.8 Without prejudice to the provisions of Clause 3.5, the Client shall immediately notify the Stock Broker in writing with full details if:
 - (i) He discovers or suspects unauthorised access through his User name, Password or account.



- (ii) He notices discrepancies that might be attributable to unauthorised access.
- (iii) He forgets his password or
- (iv) He discovers a security flaw in the Stock Broker's Internet Trading Website
- 3.9 In any of the above events specified in clause 3.7, the Client shall immediately change his password. However, if the Client is unable to change his password by reason of his having forgotten his password or his password having been unauthorized changed by some other person or for any other reason than the Client shall immediately request the Stock Broker in writing to discontinue his password; and there upon the Stock Broker shall block the login to discontinue the use of the Client's password and Stock Broker's Internet Trading Website shall generate a new password for the Client which shall be communicated to the Client. At no point in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the password.

4. Internet Trading Facility:

- 4.1 The Stock Broker may permit day trading only in the list of scrip's specified for the purpose by the Stock Broker from to time.
- 4.2 The margin percentage applicable to each of the scrip shall be equal to the total margins levied by Exchange subject to a minimum of VAR% or Risk Management System and may be changed at the discretion of the Stock Broker from time to time without any further intimation.
- 4.3 The minimum margin percentage for day trading in CM Segment shall be same. However, for F&O segment margins will be as specified by the Stock Exchange from time to time.
- 4.4 Day / Margin positions can be converted to delivery before the defined cut-off time subject to availability of clear funds or free securities balance.
- 4.5 Mark-to-Market (MTM) process shall be triggered at periodic intervals during the day and MTM losses arising, if any, shall be fully recovered from the available buying power and MTM profits if any shall not be added to the Clients buying power. Also, MTM losses of one scrip shall not be netted off against the MTM profits of another scrip of the same client.
- 4.6 The Stock Broker may call for additional margin in case the Mark to Market (MTM) loss on the open margin positions exceeds the defined threshold limits.
- 4.7 The Stock Broker may cancel the pending orders and place square-off orders to close all or some of the day positions if sufficient balance is not available to absorb the additional margins.
- 4.8 If the balance is not sufficient to cover the MTM losses and or the additional margin call then the open positions under day trading shall be squared-off by the Stock Broker at the Client risk without attempting to call the Client, or converting to delivery or giving some grace time. If the Client has taken day positions in many scrip's then the Stock Broker may square off the scrip's on Clients behalf preferably and not necessarily

- be chosen on the basis of the descending order of the loss incurred, until the balance turns positive.
- 4.9 The Stock Broker shall be entitled to square off Client's open margin position in case they have not been squared off or converted to delivery before the defined cut-off time.
- 4.10 The Stock Broker may define the cut-off time by which the square-off process shall be triggered and this may vary from time to time. The timings shall however be notified on the trading screen and the website.
- 4.11 The square off orders shall be generated at market price and they may be executed at any price, which may be different from the price prevalent at the cut-off time.
- 4.12 The losses, if any, arising from the execution of the square off trades shall be borne by the Client.
- 4.13 The Stock Broker shall have the right to cancel any or all open orders and/or close any or all outstanding contracts.
- 4.14 Open margin positions that are not squared off for reasons beyond the control of Stock Broker such as price band, technical issues, etc. shall be converted to delivery.
- 4.15 The Stock Broker will not deliver the shares to the Client, if the position cannot be successfully converted to delivery due to non-availability of funds in case of open buy positions and may liquidate such shares instantaneously on the receipt of purchased securities from Exchange and the Client shall be liable for any resulting losses, brokerage, and all associated costs which include brokerage stamp duty, auction charges, facilitation charges, STT, turnover charges incurred for the purpose.
- 4.16 The Client shall bear the losses and all associated costs which include brokerage stamp duty, auction charges, facilitation charges, STT, turnover charges including penalty levied by the Exchange arising out of the auction and or close out as per the rules of the concerned Exchange, If the position cannot be successfully converted to delivery due to shortage of shares in demat account linked to trading in case of open sell positions.
- 4.17 The Stock Broker reserves the right to square off any open margin positions if the current market price breaches the specified percentage when compared with the previous day's closing price for that scrip. The specified % as per Risk Management System shall be notified from time to time.

| | Sole Holder |
|---------------------|-------------|
| Client Name | |
| Name | |
| Client Signature | |
| Signature | 4 |



| Broker/Agent Code ARN: | | | SUB-BROKER | | EUIN | |
|---|---------------------|-------------------|-----------------|------------------|------|----|
| Unit Folder Information | | | | | | |
| Name of the First Applicant : | | 95 | | | | |
| | | | Date Of Birth : | | | |
| Father Name: | | | | Mother Name : | | |
| Name of Guardian: | | | | PAN: | | |
| Contact Address: | | | | | | |
| City: | Pincode: | | State: | Country: | | |
| Tel.(Off): | Tel.(Res): | | | Email: | | |
| Fax(Off): | Fax(Res): | | | Mobile: | | |
| Income Tax Slab/Networth: | | | | Occupation Detai | ls: | |
| Place of Birth: | | Country of Tax Re | esidence: | ·- | | |
| Tax ld No: | | 44 | | | | |
| Politically exposed person /Related | to Politically expo | sed person etc.? | | | Yes | No |
| Mode of Holding: | | | | Occupation: | | 1 |
| Name of the Second Applicant : | | | | | | |
| PAN Number : KYC : Date Of Birth : | | | | | | |
| Income Tax Slab/Networth: | | * | | Occupation Detai | ls: | |
| Place of Birth: Country of Tax Residence: | | | | | | |
| Tax ld No: | | 11 | | | | |
| Politically exposed person /Related to Politically exposed person etc.? Yes No | | | | | | |
| Name of the Third Applicant : | | | | 70 | | |
| | | | Date Of Birth : | | | |
| Income Tax Slab/Networth: Occupation Details: | | | | | | |
| Place of Birth: Country of Tax Residence: | | | | | | |
| Tax ld No: | | | | | | |
| Politically exposed person /Related to Politically exposed person etc.? | | | | | | |
| Other Details of Sole / 1st Applicant | | | | | | |
| Overseas Address (In case of NRI Investor): | | | | | | |

| City: | Pincode: | | Country: | | |
|---|---|---------|------------|----------|--|
| Bank Mandate 1 Details | | | | | |
| Name of Bank: | | Branch: | | | |
| A/C No.: | A/C Type: | | IFSC Code: | | |
| Bank Address: | 8 | | | 8 | |
| City: | Pincode: | State: | | Country: | |
| Bank Mandate 2 Details | | | | | |
| Name of Bank: | | | Branch: | | |
| A/C No.: | A/C Type: | | IFSC Code: | | |
| Bank Address: | | | | | |
| City: | Pincode: | State: | | Country: | |
| Bank Mandate 3 Details | | | | , | |
| Name of Bank: | | | Branch: | | |
| A/C No.: | A/C Type: | | IFSC Code: | | |
| Bank Address: | | | | | |
| City: | Pincode: | State: | | Country: | |
| Bank Mandate 4 Details | | • | - | | |
| Name of Bank: | Name of Bank: Branch: | | | | |
| A/C No.: | A/C Type: | | IFSC Code: | | |
| Bank Address: | | | 2 | | |
| City: | Pincode: State: | | | Country: | |
| Bank Mandate 5 Details | | | - | | |
| Name of Bank: | v. | | Branch: | | |
| A/C No.: | No.: A/C Type: | | IFSC Code: | | |
| Bank Address: | | | | | |
| City: | Pincode: State: | | | Country: | |
| Nomination Details | | | | | |
| Nominee Name: Relationship: | | | | | |
| Guardian Name(If Nominee is Minor): | | | | | |
| Nominee Address: | | | | | |
| City: | Pincode: State: | | | | |
| Declaration and Signature I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us. | | | | | |
| Date : | | Place : | | | |
| 1st applicant Signature : | 2nd applicant Signature : 3rd applicant Signature : | | | | |



PMLA

BügleRock

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.

| | Sole Holder |
|---------------------|-------------|
| Client Name | |
| Name | |
| Client | |
| Client Signature | <i>f</i> |



DECLARATION WITH RESPECT TO LEGITIMATE SOURCE OF FUNDS

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

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

| | Sole Holder |
|------------------|-------------|
| Client Name | |
| Client Signature | 1 |



Other Documents



AUTHORISATION FOR REPLEDGE OF SHARES/ SECURITIES AS COLLATERAL

To,

Buglerock Capital Private Limited Bangalore - 560001

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

Dear Sir/Madam,

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

I/We hereby confirm that:

- i) the said securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- ii) the said securities will be subject to the creation of Margin Repledge in favour of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) and further that the Securities over which Repledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that my/our said Securities to be given in future as security would likewise be unencumbered, absolute and disposable property.
- iii) the Trading member/ Clearing Member is authorized to do all such acts and things, sign documents and pay and incur any applicable cost, debts and expenses as may be necessary under the Deed of Pledge and the same shall be subject to the terms and conditions as contained therein.
- iv) the Said Securities shall be subject to the first priority and lien in favour of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) to secure obligations and that the rights or interests with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) in respect of the Said Securities.
- v) Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) in which said securities are pledged, may invoke the pledge without any reference to me/us or my/our permission and upon receipt of the Said Securities may utilize the proceeds in meeting obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against the Clearing Member and me/us.



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

| , . | ns or demands for refund or any reimbursement in relation to s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all |
|-------------------------|--|
| Segment(s). | on eleming corporation(o), eleming member(o) for any, an |
| | |
| Name of the client | |
| | |
| Signature of the client | |
| | |



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

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



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 Bangalore - 560001

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 Private 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. | Client Name | Client UCC | Relationship | Signature |
|-----|-------------|------------|---------------------------|-----------|
| No | | | 1 | O |
| 1 | | | Self (Mandatory) | |
| 2 | | | Dependent Parent - Mother | 1 |
| 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 | |
| | | | | |

BügleRock

| | | □ Trust | |
|------------|-----------------|---------------------|---|
| | | | |
| 10 | | Non-Individual like | |
| | | □ Company | |
| | | □HUF | / |
| | | ☐ Partnership | |
| | | □ Trust | |
| / T | ()]]]]]] | | |

(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.)



NRI DECLARATION To, **Buglerock Capital Private Limited** Bangalore - 560001 Dear Sir / Madam, I/We have requested you to open the trading 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. Whereas the Securities and Exchange Board of India (SEBI) and the Reserve Bank of India (RBI) have promulgated special rules and regulations applicable to NRIs who trade on Indian Stock Exchanges. I understand and agree to abide by the SEBI/RBI rule that prohibits me from short-selling securities and netting of trades. I/We have complied with, and will continue to comply with, FEMA regulations and other applicable laws. Thanking You, Yours truly, Name of the client Signature of the client



TRADING - CLIENT AUTHORIZATION TO THIRD PARTY

(Minor cannot be appointed)

- 1. To do transactions on my behalf in shares, securities, derivative contract and all other Products and/or services offered by Buglerock Capital Private Limited.
- 2. To present cheques to meet the payment obligations arising out of the transactions done on my behalf and in my account.
- 3. To receive cheques on my behalf with regard to this.
- 4. To subscribe / unsubscribe to the Products and/or services introduced or offered by Buglerock Capital Private Limited from time to time.

I request Buglerock Capital Private Limited to act on the instructions of the Authorised Person. I agree and undertake that Buglerock Capital Private Limited shall not be held responsible / liable for actions / inactions arising out of the said instructions.

I shall indemnify Buglerock Capital Private Limited for any costs, losses, expenses, penalties and outgoings including legal fees and expenses incurred or suffered by Buglerock Capital Private Limited due to such authorization.

I agree and understand that Buglerock Capital Private Limited does not have any means such as biometric passwords, etc. to confirm / authenticate the authorized person acting under this Authorization.

I agree and confirm that the said authorization shall be cancelled or revoked only upon furnishing an advance written notice of 30 (thirty) days to Buglerock Capital Private Limited which notice shall bear an acknowledgement of receipt by Buglerock Capital Private Limited in writing specifically addressed to me.



I hereby ratify and confirm and agree to ratify and confirm all acts, deeds or the trades done or cause to be done by the Authorised Person under this authority and shall be construed as acts, deeds or trades done by me.

Name of the Authorized Person (Self Certified Proof of Identity of the Authorized person to be submitted alongwith the said Authorization)

| (Full signature required) | | | |
|---|--|----------------------------|--|
| (Singature of authorised person) | Photo of the Authorized | | |
| Address of the authorised person : | person | | |
| Landline number of authorised person | Signature of the Authorized | | |
| Mobile number of authorised person | : | person across the photo | |
| Email ID of authorised person : | | | |
| PAN of the authorised person : | PAN of the authorised person : | | |
| Date of birth of the authorised person | : DD MM YYYY | | |
| Any one of the following documents r Passport Copy | nay be submitted as Proof of Identity: | | |
| Driving License Pan | | | |
| Сору | | | |
| | | | |
| Name of the Client | | | |
| Client Signature | | | |



CLIENT CONSENT REQUEST

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

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

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

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

Annexure

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

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

| | | I/We understand that availing personalized recommendation regarding financial |
|---|--|--|
| | | products and services, value-added products and value-added services from |
| | | Buglerock Group is voluntary, and I/We wish to continue availing information |
| l | | for all types of financial products, including but not limited to investment and |
| | | insurance products, and value-added services and products for my/our personal |
| | | benefit from Buglerock Group. |



| and s mark finan | consent to the collection, processing, and retention of my/our Personal Data naring my/our Personal Data with Buglerock Group for the purposes of ting and making personalized recommendations to me/us regarding ial products and services, value- added products and value-added services d by Buglerock Group. |
|------------------------|---|
| throuetc.) | agree to receive information on financial products, offers, and services gh various communication modes (telephone calls, SMS, emails, WhatsApp and subscribe to and receive newsletters, recommendations and other unications from Buglerock Group. |
| We have opened with | agree and consent that my consent as above with respect to any account I/Buglerock Capital shall constitute my consent in relation to the above with have opened as well as all my other accounts with Buglerock Group. |
| Name of the Client | |
| Client Signature | |



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

(Pursuant to applicable SEBI Regulations and Circulars)

| Bangalore – 560001 | | |
|--------------------|-----------------------------------|----------------------|
| I/We | | Indian Resident/NRI, |
| O | years, S/o /D/o | |
| | Capital Private Limited with Trad | e Code |

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

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

4. I/We confirm that:

To

Buglerock Capital Private Limited

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



shall cease sharing any further information with such Third-Party Product Providers.

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

| Name of the Client | |
|--------------------|--|
| Client Signature | |



NAME DECLARATION FORM - FIRST / SOLE 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 Name |
| Client's Signature |



Acknowledgment of receipt of KYC documents



ACKNOWLEDGMENT OF RECEIPT OF KYC DOCUMENTS

To,

Buglerock Capital Private Limited

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 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, Most Important Terms and Conditions (MITC) and Handling Good Till Cancelled/Good Till Triggered Orders.)

I/We aware that Standard Documents are made available on Company Website i.e. https://buglerock.asia/equitybroking/ in regional languages for your ease reference.

I / We further confirm having read and understood the contents of the "Investor Charter for Stockbrokers".

I / We are aware that my/our trading will be opened as per the IT database.

| Signed for and on behalf of | Trading Account Holder |
|-----------------------------|------------------------|
| Client Name | |
| Signature | |
| Place: | Date: day of 20 |



Client Due Diligence



Client Due Diligence Checklist

| 1. | Client Categorization | | |
|--|--|--|--|
| | \square Resident Individual \square NRI | | |
| 2. | 2. Confirmed that the Client has been verified against the SEBI debarred list. | | |
| 3. | 3. Confirmed that the Client has been verified against the UN Sanctions list. | | |
| 4. | The identity of the client does not mat UN Sanctions list. | ch with those in the SEBI debarred list or the | |
| | \Box Does not Match \Box Does Match (tick whichever is applicable) | | |
| 5. A | action taken if the name is found mate | hing | |
| ••••• | | | |
| ••••• | | | |
| | rce of Funds / Income Verification | | |
| □ Sala | ry \square Business Income \square Inheritance \square | Investment Returns □ Others: | |
| Documents Verified: □ ITR □ Bank Statement □ Form 16 □ Others: | | | |
| 7. Clie | nt Background / Reputation Risk | | |
| □ No a | adverse news found in public domain | | |
| □ Adv | erse media alerts found and escalated | | |
| Details of verification / news source: | | | |
| Name of Verifying Employee | | | |
| Emplo | yee Code | | |
| Date V | /erified | | |
| Signat | ure | | |
| | | | |
| | | | |

Disclaimer: Trading / investing in securities/ derivatives involves considerable risk and may not be suitable for all type of investors and / or traders. The investor and / or trader may have the risk of losing part or all or even in excess of the initial investment. Buglerock Capital does not offer any product / service with assured / guaranteed returns. Please read the risk disclosure document before trading

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