

## Guidelines for Accessing Third-Party Products via BugleRock Capital Private Limited (BugleRock Capital)

Dear Client,

As part of SEBI and Exchange directives ([Ref: NSE/INSP/68566, dated June 16, 2025](#)), we at BugleRock Capital would like to inform you about the updated regulatory framework regarding the offering of third-party products (TPPs) through our platform or any related application.

### What You Need to Know

- Only Regulated Products: We will only offer products that are regulated by SEBI or other financial regulators like AMFI, IRDAI, PFRDA, or RBI.
- Disclosure & Transparency: All third-party products will be displayed under a separate tab/page with full details including the name of the product and the registration number of the regulator.
- Your Data is Secure: Your personal and trading data will remain secure with us. It will not be shared with any third-party provider without your explicit, opt-in consent.
- Payments Stay Direct: Any payments you make for third-party products will go directly to the product provider. Funds will not pass through BugleRock Capital unless explicitly allowed by regulators (like for NPS).
- No Bundling or Mandates: You are under no obligation to use any of the third-party offerings. These are entirely optional and not linked to your trading account.
- No Tripartite Agreements: BugleRock Capital will not be a party to any agreement you enter into with a third-party product provider.
- Login Security: Access to the broking section of our app or platform will always be protected by two-factor authentication (2FA), as mandated by SEBI and stock exchanges.

### For Your Protection

We want to ensure you are empowered with choice and protected by regulation. Our platform is committed to providing you with a seamless and secure experience — whether you're trading or exploring optional financial services.

**Note:** BugleRock Capital Private Limited acts solely as a distributor for certain third-party, non-exchange-traded investment products, such as Portfolio Management Services (PMS), Mutual Funds, fixed income products, bonds, Alternative Investment Funds (AIFs) and other similar instruments (collectively, "Products"). BugleRock does not act as an exchange member

#### BugleRock Capital Private Limited (Formerly known as o3 Securities Private Limited)

Reg Office: Prestige Takt, 1st Floor, 23, Kasturba Road Cross, Bangalore - 560001, Karnataka, India

Tel: +91 080 69029000 | CIN: U67120KA2008PTC047749

SEBI Registration No.: INZ00029132 | 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)

or market intermediary for these Products, and its role is limited to distribution and facilitation on behalf of the respective product manufacturers/issuers.

Accordingly, any dispute, complaint or claim arising out of or relating to the distribution of such Products (including onboarding, documentation, information-sharing, or servicing support) shall not be eligible for recourse through stock exchange investor grievance redressal forums or the stock exchange arbitration mechanism. Investors may seek redressal directly with the respective product manufacturer/issuer and/or the relevant regulator's prescribed grievance redressal mechanism, as applicable.

Each Product is offered, managed and serviced by its respective regulated entity, and all product terms, performance, risks, disclosures, fees and service obligations remain the responsibility of such entity. BugleRock does not provide any assurance or guarantee regarding the performance or returns of the Products and does not assume any fiduciary responsibility beyond its limited role as a distributor.

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