GuruStox

TRADING AND DEMAT

ACCOUNT OPENING FORM

Member:
NSE / BSE / CDSL

INDIVIDUAL CORPORATE N.R.I

PROPRIETOR FIRM H.U.F

Client Code_____________________Client BO ID________________

Client Name____________________Branch Code________________

Application No.________________Emp Code__________________

☐ Only Trading ☐ Only DP ☐ Combined

Remarks____

GURUSTOX LIMITED – Regulatory & Membership Information

Registered Office	Corporate Office
1401, 14th Floor, Chiranjiv Tower, 43 Nehru Place, New Delhi– 110019	H. No. 1073, Sector 40, Gurgaon, Haryana – 122001
Phone: +91-124-4061723 E-mail: info@gurustox.com, hplnse@gmail.com grievance@gurustox.com	CIN No. - U67120DL1993PLC056460 Website: www.gurustox.com

Director's and Compliance Details

Name	Rahul Bahukhandi	Tejasav Narayan Bhatotiya	Kamal Luthra
Desiganation	Director	Director	Compliance Officer
Phone	91-9667953516	91-9818133883	91-9667953082
Email	rb@gurustox.com	tejasav@gurstox .com	kamal.luthra@gurustox.com

Regulatory Details

SEBI Registration No.	INZ000255037
SEBI DP Registration No.	IN-DP-805-2025
Depository Participant	CDSL (DP ID: 12102400)

Clearing Member (Equity)	Gurustox Limited
Clearing Member (Derivatives)	Globe Capital Market Limited

Exchange Memberships

Exchange	Segment	Member ID	SEBI Regn. No.
NSE	CM, F&O	08052	INZ000255037
BSE	CM, F&O	6249	INZ000255037

Investor Grievance Contact

Contact Gurustox Limited	Escalation – Exchange/Depository
Address: As above E-mail: info@gurustox.com, grievance@gurustox.com Phone: +91-124-4061723	If not satisfied with our response, you may contact the respective Exchange/Depository listed below.

Exchange / Depository Contact Details

Exchange / Depository	E-mail ID	Phone No.
NSE	ignse@nse.co.in	022-26589190 / 1800-2660058
BSE	is@bseindia.com	022-22728097
MCX	grievance@mcxindia.com	022-67318888
ICEX	info@icexindia.com	022-30849700
CDSL	complaints@cdslindia.com	022-22723333
NSDL	relations@nsdl.co.in	022-24994200

SEBI Contact

Mode	Details
Website Toll-Free Helpline	http://scores.gov.in 1800-22-7575 / 1800-266-7575

ACKNOWLEDGEMENT TO GURUSTOX LIMITED FROM CLIENT

Date: ______________________

To
Gurustox Limited
Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

I/We intend to open a Trading Account with M/s. Gurustox Limited who is Member of NSE, BSE, and CDSL and undertake as follows:

1. I/We have been duly made aware by the Member that the client has a preference to receive the below referred documents either in electronic form or in physical form:
   A. Right and Obligations of Stock Brokers, Sub-Brokers and Clients
   B. Internet and Wireless technology based trading facility provided by Stock Brokers to Client
   C. Risk and Disclosure document for capital market and derivative segments
   D. Guidance note-Do's and Dont's for trading on the Exchange(s) for Investors
   E. Policies & Procedures
   F. Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories
   G. Other disclosure/ documents as agreed by me/us specifically in voluntary segment.
2. I/We am/are further made aware by my/our Member that for receiving the above said documents in Electronic or Physical Form, I/We have to accord my/our consent.
3. Therefore, in reference to the above, I/We hereby voluntarily accord my/our consent to receive the aforesaid documents in:-
   ☐ Electronic Form ☐ Physical Form
4. If I/We opted for the same in Electronic mode, then the Member can send said aforesaid documents at my registered email id.
5. I/We have been further made aware by my/our Member that the aforesaid documents have also been made available at the Member's website i.e.www.gurustox.com
6. I/We am/are made aware that the non receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my registered email id.
7. I/We hereby accord my/our consent to an arbitration agreement by virtue of which I/We shall refer all my/our claims, differences or disputes between us which might have arise out of my/our trading, deposits, margin money, etc. in relation to my/our dealings in contracts and transactions which have been made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have been entered into, to the arbitration in accordance with the provisions of these Byelaws, Rules and Regulations of the Exchanges.

✍ 1 ______________________
Client Signature

Client Name: ______________________________

(Tear Here)

RECEIPT OF PHYSICAL KIT

Date: ______________________

To
Gurustox Limited
Corporate Office: H No 1073, Sector 40, Gurgaon-122001

I/We hereby confirm that I/We have received a copy of following documents:

A. Right and Obligations of Stock Brokers, Sub-Brokers and Clients
B. Internet and Wireless technology based trading facility provided by Stock Brokers to Clients
C. Risk and Disclosure document for capital market and derivative segments
D. Guidance note-Do's and Dont's for trading on the Exchange(s) for Investors
F. Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories
E. Policies & Procedures
F. Other disclosure/ documents as agreed by me/us specifically in voluntary segment.

✍ 2 ______________________
Client Signature

Client Name: ______________________________

ANNEXURE - 1 Mandatory

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested 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 the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English language is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address 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/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN 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 a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI) : - List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving License.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:
(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only landline), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary Public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Government or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account Power of Attorney given by FII/sub account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse shall be acceptable subject to the submission of proof of relationship alongwith the same.

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted 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. In case of Non Individuals additional documents to be obtained from non-individuals over & above the POI & POA, as mentioned below :

Types of entity	Documentary Requirements
Corporate	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI Takeover Regulations, duly certified by the Company Secretary/Whole Time Director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. • Copies of the Memorandum and Articles of Association and Certificate of Incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership Firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	• PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	• Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/ Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	• Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	• Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST (for filling additional information related to trading account)

1. Additional documents in case of trading in derivatives segments - illustrative list :

• Copy of ITR Acknowledgement	• Net Worth Certificate	• Any other relevant documents substantiating ownership of assets.
• Copy of Annual Accounts	• Copy of Demat account holding statement.	• Self declaration with relevant supporting documents.
• In case of salary income - Salary Slip, Copy of Form 16	• Bank account statement for last 6 months	

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
   a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
   b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
   a. Form need to be initialized by all the authorized signatories.
   b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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

Important Instructions:

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

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

Application Type* ☐ New ☐ Update
KYC Number (Mandatory for KYC update request)
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

☐ 1. PERSONALDETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

PHOTO

Signature / Thumb Impression

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
Marital Status* ☐ Married ☐ Unmarried ☐ Others
Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code)
Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin
Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)
☐ B-Business
☐ X- Not Categorised

☐ 2. TICK IFAPPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONALDETAILS REQUIRED* (Mandatory only if section 2 is ticked)
ISO 3166 Country Code of Jurisdiction of Residence*
Tax Identification Number or equivalent (If issued by jurisdiction)*
Place / City of Birth* ISO 3166 Country Code of Birth*

☐ 3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of **any one** of the following Proof of Identity [PoI] needs to be submitted)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar) X X X X X X X X
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number
☐ S- Simplified Measures Account - Document Type code Identification Number
☐ I/we hereby declare that my PAN has already been seeded (linked) with AADHAR. ☐ Yes ☐ No

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of **any one** of the following Proof of Address [PoA] needs to be submitted)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others (please specify)
☐ Simplified Measures Account - Document Type code

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

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction **E** at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill '**Annexure A1**')

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

☐ **5. CONTACT DETAILS** (All communications will be sent on provided

T Tel. (Res) Mobile

FAX Email ID

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, ple ase fill 'Annexure B1') (please refer instruction **G** at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional) el. (Off)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (**H**) at the end)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar) X X X X X X X X

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ **7. REMARKS (If any)** Mobile no. / Email-ID) (Please refer instruction **F** at the end)

8. APPLICANT DECLARATION

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

Date : D D – M M – Y Y Y Y Place :

3 [Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☑ Certified Copies ☑ IPV Done

KYC VERIFICATION / IPV Done BY

Date D D M M Y Y Y Y Place

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **Gurustox Limited**

Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individuals

Important Instructions:

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

For office use only Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number *(Mandatory for KYC update request)*

☐ 1. ENTITY DETAILS* (Please refer instruction A at the end)

☐ Name*

Entity Constitution Type* ☐ Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* D D - M M - Y Y Y Y Date of Commencement of Business D D - M M - Y Y Y Y

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN* ☐ Form 60 furnished

TIN / GST Registration Number

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

☐ Officially valid document(s) in respect of person authorised to transact
☐ Certificate of Incorporation / Formation
☐ Registration Certificate Regn Certificate No.
☐ Memorandum and Articles of Association
☐ Partnership Deep
☐ Trust Deed
☐ Resolution of Board / Managing Committee
☐ Power of attorney granted to its manager, officers or employees to transact on its behalf
☐ Activity Proof - 1 (For Sole Proprietorship Only)
☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ 3. ADDRESS* (Please see instruction C at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2* City / Town / Village*

District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2* City / Town / Village*

District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

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

Tel. (Off) FAX

Mobile Email ID

Mobile Email ID

☐ 5. NUMBER OF RELATIVE PERSONS (Please refer instruction E at the end)

☐ 6. REMARKS (If any)

7. APPLICANT DECLARATION (Please refer Instruction G at the end)

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

Date : D D - M M - Y Y Y Y Place:

4

Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☑ Certified Copies ☑ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date D D M M Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **Gurustox Limited**

Code

[Institution Stamp]

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

A Clarification / Guidelines for filling Entity Details section

1 Entity Contitution Type

A - Sole Proprietorship
B - Partnership Firm
C - HUF
D - Private Limited Company
E - Public Limited Company
F - Society
G - Association of Person (AOP) / Body of Individuals (BOI)
H - Trust
I - Liquidator
J - Limited Liability Partnership
K - Artificial Liability Partnership
L - Public Sector Banks
M - Central/State Government Department or Agency
N - Section 8 Companies (Companies Act, 2013)
O - Artificial Juridical Person
P - International Organisation or Agency / Foreign Embassy or Consular office etc.
Q - Not Categorized
R - Others
S - Foreign Portfolio Investors

2. In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available3

B. Clarification / Guidelines for filling 'Proof of Identity [PoI]' section

1. Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firm. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
2. Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
3. Certificate copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
4. '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.
5. 'Digital KYC process' has to be carried out as stipulated in the RML Rules, 2005.
6. KYC Requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator form time to time.

C. Clarification / Guidelines for filling 'Proof of Address' [PoA]' section

1. State / U.T. Code and Pin / Post Code will not be mandatory for Overseas Addresses.
2. Certified copy of document or equivalent e-document to be submitted.

D. Clarification / Guidelines for filling 'Contact Details' section

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

E. Clarification / Guidelines for filling 'Related Person Details' section

1. Personal Details
   - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Proof of address [PoA]
   - PoAto be submitted only if the submitted PoI does not have address or address as per PoI is invalid or not in force.
   - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
   - In case of deemed PoAsuch as utility bill, the document need not be uploaded on CKYCR
   - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
3. If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
4. Regulated Entity (RE) shall redact (first 8 digit) or the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F. Provision for Capturing Signature of multiple authorised person is to be made by RE.

Gurustox Limited

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual

☐ NEW ☐ CHANGE REQUEST (Please tick ✓ the appropriate)

Please fill this form in ***ENGLISH*** and in ***BLOCK*** LETTERS

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Acknowledgment No.

A IDENTITY DETAILS

Name of the Applicant ....

Date of Incorporation ☐☐ ☐☐ ☐☐☐☐ **Place of Incorporation**..

Date of commencement of business ☐☐ ☐☐ ☐☐☐☐

Permanent Account Number (PAN) ☐☐☐☐☐☐☐☐☐☐

Registration No. (e.g. CIN) ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

Status (Please tick any one)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

☐ Private Limited Co.	☐ Public Ltd. Co.	☐ Body Corporate	☐ Partnership	
☐ Trust	☐ Charities	☐ NGO's	☐ FI	☐ FII
☐ HUF	☐ AOP	☐ Bank	☐ Government Body	☐ Non-Government Organization
☐ Defense Establishment	☐ BOI	☐ Society	☐ LLP	☐ Others (Please specify)

B ADDRESS DETAILS

Address for Registered Office..

....

City / Town / Village...Pin Code ☐☐☐☐☐☐

State.. Country..

Contact Details

Tel. (Off.).. Fax..

Tel. (Res.) .... Mobile No..

E-Mail Id ....

Specify the Proof of Address submitted for Correspondence Address: ....

Validity Expiry Date of Proof of Address Submitted D D M M Y Y Y Y

Address for Correspondence(If different from above)..

....

....

City / Town / Village ....Pin Code ☐☐☐☐☐☐

State.. Country..

Specify the Proof of Address submitted for Correspondence Address: ....

Validity Expiry Date of Proof of Address Submitted D D M M Y Y Y Y

C OTHER DETAILS

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Whole Time Directors :.........................
If space is insufficient, enclosed these details separately (illustrative format enclosed)

DIN of Whole Time Directors : ....
If space is insufficient, enclosed these details separately (illustrative format enclosed)

AADHAR No. of Promoters/Partners/Karta : ....
If space is insufficient, enclosed these details separately (illustrative format enclosed)

D DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information if found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/we may be held liable for it.

Date ☐☐ ☐☐ ☐☐☐☐

Name & Signature of the Director/Authorised Signatory(ies)

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the person who has done the IPV: ____________________

Designation: ____________________ Employee ID: ____________________

Name of the Organization: **Gurustox Limited**

Date of IPV: ☐☐ ☐☐ ☐☐☐☐

Signature of the person who has done the IPV

Seal/Stamp of the Stock Broker

☐ Originals Verified & Self Attested Document copies received

Date ☐☐ ☐☐ ☐☐☐☐ Place : ____________________

Name & Signature of the Authorised Signatory

Details of Co-Parceners/Promoters/Partners/Karta/Trustees and Whole Time Directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

1. Name__________
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)__________
3 a. PAN__________ b. DIN/Aadhaar No.__________
4. Residential/ Registered Address__________

   City / Town / Village __________ Pin Code__________
   State__________ Country__________
5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. Name__________
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)__________
3 a. PAN__________ b. DIN/Aadhaar No.__________
4. Residential/ Registered Address__________

   City / Town / Village __________ Pin Code__________
   State__________ Country__________
5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. Name__________
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)__________
3 a. PAN__________ b. DIN/Aadhaar No.__________
4. Residential/ Registered Address__________

   City / Town / Village __________ Pin Code__________
   State__________ Country__________
5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. Name__________
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)__________
3 a. PAN__________ b. DIN/Aadhaar No.__________
4. Residential/ Registered Address__________

   City / Town / Village __________ Pin Code__________
   State__________ Country__________
5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. Name__________
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)__________
3 a. PAN__________ b. DIN/Aadhaar No.__________
4. Residential/ Registered Address__________

   City / Town / Village __________ Pin Code__________
   State__________ Country__________
5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

____

Name & Signature of the Authorised Signatory (ies)

Date : D D M M Y Y Y Y

TRADING ACCOUNT RELATED DETAILS (For Individual & Non-Individuals) ANNEXURE-3

A. OTHER DETAILS

- Gross Annual Income Details : (please specify) Income Range per annum : ☐ Upto Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

  OR

  Net Worth : Amount Rs.. as on (date) ..../.........../.................
  (Net worth should not be older than 1 year) (Compulsory for Non-Individuals)

- Occupation (please tick any one and give brief details) ☐ Private Sector ☐ Public Sector ☐ Business ☐ Government Service ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others________Pl.Specify
- Nature of Business ☐ Manufacturing ☐ Services ☐ Consultancy ☐ Others______________Pl.Specify
- Please tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)
- Any other information ....

B. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account No.	Account Type	MICR Number	IFSC Code
			☐ Saving ☐ Current ☐ Others................. In case of NRI: ☐ NRE ☐ NRO		

C. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	☐ CDSL		**12102400**	

TRADING PREFERENCE

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

Exchanges	**NSE & BSE**		
All Segments	**Cash**	**F&O**	**Currency**

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

D. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	☐ Physical Contact Note ☐ Electronic Contract Note (ECN)
I/We wish to avail facility provided by the exchange	☐ SMS Alert ☐ E-mail Alert ☐ Both
In case of ECN/E-mail alert pl. specify your Email-Id	
In case of SMS alert, please specify your Mobile No.	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:	
Any other information	

E. INTRODUCER DETAILS (optional)

Name of the introducer	
Status of the Introducer	☐ Sub Broker ☐ Remisier ☐ Auth. Person ☐ Existing Client ☐ Others_______________
Address and Phone No. of the Introducer	
Sign. of the Introducer	

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I/We declare that Gurustox Limited the broker, have put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

✍ 5 ____________________________

Client Signature

Place ____________________________

Date D D M M Y Y Y Y

FOR OFFICE USE ONLY

UCC Code allotted to the Client :_____________________________

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

For Gurustox Limited

____

Signature of the Authorised Signatory

Date __________________

Seal / Stamp of the Stock Broker

DECLARATION OF FAMILY MEMBERS

(To be taken from all family members)

To,

Date :____________________

Gurustox Limited

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

Subject: Declaration of Family Members

Dear Sir,

I /We, ____having trading Account bearing client code _______________ with you. I / We would like to inform you that my under mentioned family members are also maintaining trading accounts with you.

Sl. No.	Name of Members	Trading Code	Relation with Account Holder

I / We request you to kindly consider my / our designated Mobile No.: ____as Common Mobile No. in case of all the above family members for all communication in respect of any of the above family accounts.

I / We further request you to consider my / our designated Email Id: ____as Common Email Id in case of all the above family members for all communication in respect of any of the above family accounts.

✍ 6 _________________________

Client Signature

Nomination Details	DATE		UCC/DP ID	/12102400	CLIENT ID	

I/We wish to make a nomination. [*As per details given below*]
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our death.

	Nomination can be made up to three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) Mr./Ms.)				
2	Share of Each Nominee	Equally [If not equally, please specify percentage]	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	Relationship with the applicant (if any)				
4	Address of Nominee				
	City / Place				
	State & Country				
	PIN				
5	Mobile/Telephone No of nominee(s)#				
6	Email id of nominee(s)#				
7	Nominee Identification Details# [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank A/c 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				
	PIN				
11	Mobile / Telephone no. of Guardian#				
12	Email ID of Guardian#				
13	Relationship of Guardian with nominee				
14	Nominee Identification Details# [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank A/c No. ☐ Proof of Identity ☐ Demat Account ID				

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

	Name(s) of holder(s)	Signature(s) of holder*
Sole/First Holder (Mr./Ms.)		7
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature
# Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Declaration form for opting out of nomination

DATE								

Gurustox Limited

CIN No. - U67120DL1993PLC056460
Regd. & Corporate Office: 1401, 14th Floor Chiranjiv Tower, 43 Nehru Place, New Delhi- 110019
H.NO.-1073, Sector 40, Gurgaon 122001
Tel.: + 91-1244061723 ,9667953516 ,9 8 1 8 1 3 3 8 8 3
Email: hplnse@Gmail.com,
In case of any grievances please write to info@Gurustox.com SEBI Regn. No.:INZ000255037
Exchange Registration Nos NSE : 08052,BSE:6249 Clearing No- M50644
SEBI DP Registration No: IN-DP-805-2025, CDSL Depository Participant ID: 12102400

UCC/DP ID	1	2	1	0	2	4	0	0
Client ID (only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third 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 non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our 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.)		✍
Second Holder (Mr./Ms.)		✍
Third Holder (Mr./Ms.)		✍

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

TARIFF SHEET

(BROKERAGE CHARGES)

CASH SEGMENT

Brokerage Slab	Slab in %	Minimum per Share
Delivery Based		
Square off		

F & O SEGMENT

Brokerage Slab	Slab in %	Minimum per Lot
Futures		
Options		

Note:

1. Transaction & Clearing Charges, Stamp duty, GST, SEBI Fee, STT, CTT, and all legal levies as may applicable from time to time shall be charged separately in addition to the brokerage.
2. Late payment penalty @18% p.a. calculated on daily overdue balance shall be charged till actual realisation.
3. In case an internet trading terminal is provided, connectivity charges @Rs.________/- per month or______% of turnover shall be charged separately.
4. Charges/ service standards are subject to revision at sole discretion of Gurustox Limited.
5. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.

✍ 8 ____________________

Client Signature

DISCLOSURE REGARDING PROPRIETARY TRADING

SUBJECT : DISCLOSURE REGARDING PROPRIETARY TRADING

As required under Circular No. SEBI / MRD / SE / Cir-42 / 2003 dated 19.11.2003 issued by the Securities and Exchange Board of India; I/We hereby disclose that in addition to client-based business, I/We am/are also doing proprietary trading.

☐ I/we acknowledge the above information.

For Gurustox Limited

Authorised Signatory

✍ 9 ____________________

Client Signature

PMLA DECLARATION

I/We______________________having the trading code no.____________with Gurustox Limited confirm and declare that I/We have read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained by Gurustox Limited authorised official. I/We further declare that I/we shall adhere to the rules and regulations and requirements mentioned in the PMLA Act, 2002.

✍ 10 ____________________

Client Signature

RUNNING ACCOUNT AUTHORISATION

To,

Date :____________________

Gurustox Limited

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

Sub : Running Account Authorisation

I/We am/are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity Segment and/or Interest Rate Future segment in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorise you as under :

1. I/We request you to maintain running balance in my/our account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you otherwise.
2. I/We request you to settle my/our fund account at least

   ☐ Once in every calendar quarter or

   ☐ Once in a calendar month.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to need future margin /settlement obligations computed in the manner as prescribed by SEBI/Exchange from time to time.
4. I/We further authorise you to retain such minimum value of funds at the time of settlement of a/c's as may be allowed by the exchange(s)/SEBI from time to time.
5. I shall bring any dispute arising from the statement of account or settlement so made to your notice to 30 working days from the date of receipt of funds or statement, as the case may be else it will be final.

The running account authorisation provided by me/us shall continue and remain valid until it is revoked by me/us anytime in writing.

Thanking you

Yours faithfully,

✍11____________________

Client Signature

ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (for NSE, BSE, CDSL)

To, Date :____________________

Gurustox Limited

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

Dear Sir,

I/We __________________________________ a client with member M/s. ____________________________________

of____Exchange undertakes as follows:

- I/We am/are aware that the member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself want the same in the electronic form.
- I/We am/are aware that the member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore , I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me/us.
- I/We have access to a computer and am/are a regular internet user having sufficient knowledge of handling the Email operation.
- My/our Email-Id is* ____.

  This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English language or in any other Indian language known to me/us.
- I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail-id.
- I/We am/are aware that this authorisation can be revoked at any point of time by giving a notice in writing.

  The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us.

  I/We am/are aware of the risk involved in dispensing with the physical contract note and do hereby take full responsibility for the same.

*(The email-id must be written in own handwriting of the client)

Client Name : ____

Unique Client Code : ____

PAN : ____

Address : ____

____

✍ 12 ________________________

Client Signature

Date :________________Place:_____________________

Verification of the client signature done by,

Name of the designated officer of the Member_____________________________

Signature____________________________________

LETTER OF AUTHORITY

To, Date :____________________

Gurustox Limited

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

Sub : Letter of Authority - NSE / BSE

I/We am/are dealing in shares/securities with you at NSE/BSEin various segments and in order to facilitate ease of operations. I/We authorise you as under:

1. Delivery of order/ trade confirmation/ cancellation:
   I/We hereby authorise you not to provide me / us order confirmation / modification / cancellation slips and trade confirmation slips to avoid unnecessary paper work. I/we shall get the required details from contract notes and confirmation issued by you.
2. Telephonic Conversation:
   I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
3. Fines & Penalties:
   All fines/penalties and charges levied upon you due to my/our acts / deeds or transactions may be recovered by you from my/our account.
4. Charges & Balance Maintenance:
   I/We have a Trading as well as Depository Account with………………………………………………Please debit the charges relevant with depository services from my/our trading account. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.
5. I/We have been explained that I/We may not opt to give any of the above authorisation and that the above authorisations are voluntary on my/our part and that I/We can revoke this authorisation at any point of time during the operation of my/our trading account with you by giving you a notice in writing.

Thanking you. ✍ 13 ____________________

Yours faithfully, Client Signature

FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND E-MAIL ADDRESS

To, Date :____________________

The Compliance Officer

Gurustox Limited

Member Id's :

08052 (NSE), 6249 (BSE)

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

I/We am/are aware that NSE, BSE, provide SMS/email alerts to the constituents (clients) of its member for executed on its platform. I/We hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/e-mail alerts. trades

- I/We want to receive transaction alerts through SMS as well as email from Exchanges.
- I/We want to receive transaction alerts only through SMS from Exchanges.
- I/We want to receive transaction alerts only through email from Exchanges.
- I/We do not want to receive any transaction alerts from Exchanges, specify reason
  ....

The alerts should be sent on :

Mobile number (enter 10 digit mobile no.)

E-mail-Id:...

I/We agree to the terms and conditions specified by the Exchange in its circular no. SEBI/4/2012/C/13 dated 02/02/2012 as modified from time to time. I/We am/are aware that the receipt of SMS/E-mail alerts on the above mobile number and/or email address can be stopped only on my/our written request.

✍ 14 ____________________

Client Signature

Declaration for Trading in Derivative

To, Date :____________________

Gurustox Limited

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

Dear Sir,

Subject : Declaration for Trading in Derivative

I/We,.. hereby declare that I understand the risk involved in trading in Equity/Currency/Commodity derivative (Future and Option) and margin requirement along with the other compliances in this regard, I also agreed to update financial information on annual basis.

Risk disclosure with respect to trading by individual traders in Equity Futures & Options Segment

i. 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.

ii. On an average, loss makers registered net trading loss close to Rs. 50,000./-

iii. Over and above the net trading losses incurred, loss makers expended and additional 28% of net trading losses as transaction costs.

iv. Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

SOURCE: SEBI study dated January 25, 2023 on, Analysis of Profit and Loss of Individual Traders dealing in equity Future and Options (F&O) Segment. Wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

Client Name :_____________________________ Client Code : _____________________________

✍15

Client Signature

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.
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.

✍ 16____________________

Date:____________________ Place:__________________ Signature of First Holder

DECLARATION, INDEMNITY CUM UNDERTAKING FOR NAME DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF

To, Date :____________________

Gurustox Limited

Corporate Officer H.No.- 1073, Sector 40, Gurgaon-122001

I/We____s/o., w/o., d/o.________________________________

____, refer to my/our Trading Account________________________________with Gurustox Limited do hereby affirm, declare and undertake that:

1. My/our name as it appears on my/our PAN Card is____
2. My/our name as it appears on the Income Tax website is____
3. Additional ID Proof____
4. My/our name as it appears on the Address proof is____
5. My/our name as it appears on the Bank Proof is____
6. Above mentioned names on Trading account, Tax website, Address proof, PAN Card No. ________and Bank account bearing no.____________________are mine alone.
7. I/We hereby request GURUSTOX to maintain my/our name in Demat and Trading account as per the name appearing on the website / PAN card.
8. That I/We promise and undertake to get my/our PAN card altered in accordance with my/our name as appearing on the Income Tax within 45 days from the date of signing this undertaking. GURUSTOX may, at its sold discretion, terminate my/our trading and demat account in the event of me/us not getting my/our name altered within 45 days of signing this undertaking.
9. I/We further undertake to open a bank account in accordance with the name as appearing on the Income Tax website within a week from the date of signing this undertaking.
10. I/We further undertake that in case my/our name has been changed after approal from government authorities and notified in the gazette, I/We shall get the name change effected in PAN, Bank account etc. and furnish immediately to GURUSTOX.
11. I/We further declare that I/We am/are responsible and I/We shall indemnify and keep indemnified GURUSTOX, its directors, officers, employees, agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc. that may arise out of or as a cons equence and this declaration and/or acting on this basis.

That the contents of this declaration, Indemnity-cum-Undertaking have been explained to me/us in vernacular language and I/We have understood before signing it. That this declaration, Indemnity-cum-Undertaking given by me/us to GURUSTOX is by my/our absolute free will and not under any coercion, undue influence, pressure etc., with a stable mind and in sound health.

✍ 17____________________

Client Signature

FATCA & CRS Declaration - Individual

PAN | | Trading Code | | DP Code 1 2 1 0 2 4 0 0 BO Code | |

Name

Place of Birth | Country of Birth

Nationality

Annual Income ☐ Upto Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

Net Worth **Amount Rs**.. Net Worth as on D D M M Y Y Y Y
(Net worth should not be older than 1 year)

Occupational Detail ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others___Pl. Specify___

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicate all the countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type *(TIN or Other, please specify)*
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me in this Form is true, correct and complete. I hereby agree and confirm to inform Gurustox Limited of any modification to this information immediately. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Sign here : 18

Date : D D M M Y Y Y Y

Place :

For Investor convenience, Gurustox Limited. collects this mandatory information for updating across all Group Companies of Gurustox Limited. whether you are already an investor or would become an investor in future.

Please submit the form duly filled and signed for all the holders separately and submit at your nearest Gurustox Limited branch or you can dispatch the hard copy to-

Gurustox Limited

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

For Detail Term & Conditions Please Visit www.gurustox.com

FATCA & CRS Declaration - Non Individual

PAN ____ Trading Code ____ DP Code 1 2 1 0 2 4 0 0 BO Code ____

Name ____

Please tick the applicable tax resident declaration -

I. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other%, please specify)
1.			
2.			
3.			

In case Tax Identification Number is not available, kindly provide its functional equivalent.
In case TIN or its functional equivalent is not available, please provide Company Identification Number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but entity is not a Specified U.S. Person, mention entity's exemption code here

PART A *(to be filled by Financial Institutions or Direct Reporting NFEs)*

1. We are a,
Financial institution (Refer 1 of Part C) ☐
or
Direct reporting NFE (Refer 3(vii) of Part C) ☐
(please tick as appropriate)

GIIN ____

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity ____

GIIN not available (please tick as applicable) ☐ **Applied for** ☐ Not obtained – Non-participating FI
☐ Not required to apply for - please specify 2 digits sub-category ☐ (Refer 1 A of Part C)

PART B *(please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")*

1.	Is the Entity a publicly traded company *(that is, a company whose shares are regularly traded on an established securities market)* (Refer 2a of Part C)	Yes ☐ *(If yes, please specify any one stock exchange on which the stock is regularly traded)* Name of stock exchange ____
2.	Is the Entity a related entity of a publicly traded company *(a company whose shares are regularly traded on an established securities market)* (Refer 2b of Part C)	Yes ☐ *(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)* Name of listed company ____ Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of stock exchange ____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes ☐ Nature of Business ____ Please specify the sub-category of Active NFE ☐ (Mention code – refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes ☐ Nature of Business ____

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company
☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust
☐ Others (please specify ____)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). *(Please attach additional sheets if necessary)*

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip State: Country:	Zip State: Country:	Zip State: Country:
Address Type	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	☐ Service ☐ Business ☐ Others	☐ Service ☐ Business ☐ Others	☐ Service ☐ Business ☐ Others
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) $			

* To include US, where controlling person is a US citizen or green card holder

\# If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

% In case Tax Identification Number is not available, kindly provide functional equivalent

$ Attach valid documentary proof like Shareholding Pattern duly self attested by Authorized Signatory / Company Secretary.

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. L Thereby agree and confirm to inform Gurustox Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	

Sign here : ✍19

Date : D D M M Y Y Y Y

Place :

For Investor convenience, Gurustox Limited collects this mandatory information for updating across all Group Companies of Gurustox Limited. whether you are already an investor or would become an investor in future. Please submit the form duly filled and signed for all the holders separately and submit at your nearest Gurustox Limited branch or you can dispatch the hard copy to-

Gurustox Limited

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

For Detail Term & Conditions Please Visit www.gurustox.com

CHECK LIST OF THE DOCUMENTS FOR OPENING OF DEMAT / TRADING ACCOUNT

Check List For Individual	Check List For HUF
❑ Photocopy of PAN card (Self attested)	❑ Photocopy of PAN card of HUF and Karta
❑ Photocopy of Address proof (Self Attested)	❑ Photocopy of Bank Statement for last 6 months.
❑ Cancelled cheque (if A/c name not mentioned on cheque then provide bank statement also)	❑ Cancelled cheque (if A/c name not mentioned on cheque then provide bank statement also)
❑ Photocopy of Bank Statement for last 6 months / Income Tax Return (Last Two Years)	❑ Photocopy of Bank Statement for last 6 months / Income Tax Return (Last Two Years)
❑ Demat Client Master / Demat Holding Statement or Demat A/c Opening form.	❑ Demat Client Master / Latest Demat Holding Statement or Demat A/c Opening form.
❑ Margin Cheque (Account Payee favoring "Gurustox Limited USCNBA)	❑ Margin Cheque (Account Payee favoring "Gurustox Limited USCNBA).
❑ 1 Photograph duly pasted & sign across on page no. 1	❑ Photograph duly pasted & sign across (1-photo on page no. 5)
	❑ Photocopy of Address proof of Karta
	❑ Fill the List of Co-parceners / Member on the page no.7 of KYC form

CHECK LIST FOR CORPORATE

M/s ______________________________ Contact Name: ________________ Contact No.: ________________

- ❑ ~~Copy of PAN (Permanent Account Number) of the Non-Individual~~
- ❑ Copy of Address Proof (Form-18 with Payment Receipt, Bank Statement for last 6 months)
- ❑ Copy of the balance sheets for the last 2 financial years (to be submitted every year).
- ❑ Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).
- ❑ Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
- ❑ Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
- ❑ Copies of the Memorandum and Articles of Association and certificate of incorporation.
- ❑ Copy of the Board Resolution for investment in Securities market.

- ❑ ~~Copy of Board Resolution or declaration (on the letterhead) naming~~ the persons authorized to deal in derivatives on behalf of company/firm/others and their specimen signatures.
- ❑ Copy of the Board Resolution for Opening of Demat Account
- ❑ Cancelled Cheque (Alongwith the Bank statement for last six month if name of client is not mentioned)
- ❑ Income Tax Return (for last 2 year)
- ❑ Demat Client Master / Latest Demat Holding Statement /Demat Account Opening Form
- ❑ 1 each photo of Authorised Signatory/ signatories on duly pasted, stamped & signed across.
- ❑ 1 each photo of Authorised Signatory/ signatories on Demat Account.
- ❑ 1 each photo of Authorised Signatory/ signatories on CKYC form.
- ❑ Power of Attorney (POA) for Demat A/c

Note: All the Document & KYC form must be stamp & sign by the Authorised Signatory as the Board Resolution

ADDITION IN MOA:-

To buy, sell or/and deal in all kind of shares, stocks, securities, equity derivative, currency derivative, Future & Options, bonds, debentures, units, commodity derivateive and other instruments of all types.

To deal in foreign exchange, and currencies and to convert currencies subject to approval of appropriate.

NRI Trading Account Demat Account

Additional Documents required in case of NRI :-

- **Document ensuring status of entity**
- In case of Indian passport Valid passport, Place of birth as India, Valid Visa-Work/Student/employment/resident permit etc.
- In case of Foreign passport : Valid passport and any of the following
  - Place of Birth as India in foreign passport
  - Copy of PIO/ OCI Card as applicable in case of PIO/OCI
- Copy of Passport (all pages).
- **In case of place of birth is not India , proof of applicant being person of Indian Origin is required.**
- **Indian Address and Foreign Address Proof.**
- **PIS Permission Letter from the respective designated bank.**
- **Bank verification letter indicating type of A/c as NRI/NRO/NRE.**
- **PAN Card**
- **Overseas Address**

Driving License / Foreign passport / Utility Bills / Bank Statement (not more than 2 months old) Notarized copy of rent agreement / leave & license agreement / Sale deed.

- **Photograph of Investor.**
- **Proof of respective bank account & depository accounts.**
- **FEMA / FERA undertaking. (As per the attached with the KYC)**

Guidelines for NRI Trading:

- ➢ An NRI can deal ~~with only one bank at any point~~ of time. PIS (Portfolio Investment Scheme) approval can be issued by only one bank.
- ➢ Intra day trading is **not allowed** for NRIs. NRIs can trade only in delivery-based transactions.
- ➢ BTST (Buy Today Sell Tomorrow) is **not allowed** to NRIs.
- ➢ NRI will be allowed to invest only up to **5 %** of the paid up capital of the company. NRIs are NOT allowed to buy certain scrips under this regulation. Report of the same is available on the RBI website. http://www.rbi.org.in/scripts/BS_FiiUSer.aspx
- ➢ NRIs need to have **100% funds** at the time of buying. No exposure is given to NRIs. Same way, they need to have **100% stock** available to them while selling. No short selling allowed.
- ➢ Contract notes of NRIs are daily reported to respective Bank and bank in turn report them to RBI. Reporting is taken care by Member.
- ➢ A NRI is required to make **bill-to-bill payments**. **No adjustments** of purchase against sale consideration can be done. Purchase and Sales will be dealt separately for payments / receipts.
- ➢ IPOs/Mutual funds can be applied through NON PIS i.e. Through NRE/NRO Savings account.
- ➢ FNO transactions can be routed through NRO NON PIS i.e. through NRO Savings account For FNO transactions separate code is allotted by NSE and the same has to be punched at the time of placing FNO order for NRI clients along with the client code.

It may kindly be noted that NRI A/c's are controlled both by SEBI and RBI. Non compliance on the above defined parameters is a very serious offence and is taken very seriously as the same is taken a violations in FEMA

Gurustox Limited

CDSL DP ID: 12102400 • SEBI REGN. No. IN-DP-805-2025
Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001
Ph. : 0124-4061723 • E-mail : info@Gurustox.com

CDSL Your Depository ISO 27001 Certified

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUALS & NON-INDIVIDUALS

(To be filled by the Depository Participant)

Application No.		Date	D D M M Y Y Y Y
DP Internal Reference No.			
DP ID	1 2 1 0 2 4 0 0	Client ID	

(To be filled by the applicant in BLOCK LETTERS in English)
I/We request you to open a demat account in my/our name as per following details :

HOLDERS DETAILS

Sole/First Holder's Name		PAN	
UID		Date of Birth	D D M M Y Y Y Y
Second Holder's Name		PAN	
UID		Date of Birth	D D M M Y Y Y Y
Third Holder's Name		PAN	
UID		Date of Birth	D D M M Y Y Y Y

Name* ______________________________ PAN

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

TYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Individual	☐ Individual Resident	☐ Individual Director	☐ Individual Director's Relative
	☐ Individual HUF/AOP	☐ Individual Promoter	☐ Minor
	☐ Individual Margin Trading A/c (Mantra)		☐ Others (Specify)______________
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable	☐ NRI Repatriable Promoter
	☐ NRI Non-Repatriable Promoter	☐ NRI - Depository Receipts	☐ Others (Specify)______________
☐ Foreign National	☐ Foreign National	☐ Foreign National-Depository Receipts	☐ Others (Specify)______________

Status	Sub-Status (To be filled by the DP)
☐ Body Corporate ☐ Banks ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII	
☐ CM ☐ FI ☐ Clearing House ☐ Other (Specify)______________	

SEBI Registration No. (if applicable)		SEBI Registration Date	D D M M Y Y Y Y
SEBI Registration No. (if applicable)		RBI Approval Date	D D M M Y Y Y Y
ROC Registration No. (if applicable		ROC Registration Date	D D M M Y Y Y Y
Nationality	☐ Indian ☐ Others (specify)______________		

DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian's Name		PAN	
Relationship with the applicant			

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] ☐ Yes ☐ No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (if not marked, the default option would be 'No')	☐ Yes ☐ No
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id ______________________ and on Website.	☐ Yes ☐ No
I/We wish to receive dividend/interest directly in my/our bank account given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
I/We would like to share the email ID with the RTA	☐ Yes ☐ No
I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	☐ Physical ☐ Electronic ☐ Both Physical & Electronic
Rajiv Gandhi Equity Saving Scheme (RGESS)	☐ Yes ☐ No
CAS Mode (Consolidated Account Statement)	☐ No (CAS not required) ☐ PH (Physical CAS required)
Mental Disability Flag	☐ Yes ☐ No

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)	
IFS Code (11 Character)	
Account Number	
Account Type	☐ Saving ☐ Current ☐ Cash Credit ☐ NRE ☐ NRO ☐ Others (specify)______________
Bank Name	
Branch Name	
Bank Branch Address	

City		State		Country		PIN	

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque books is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO.
(iii) Photocopy of the Passbook having name and adress of the BO, (or)

- ➢ In case of option (ii), (iii) and (i) above, MICR Code of the branch should be present/mentioned on the document.

OTHER DETAILS

Gross Annual Income Details (please specify) : Income Range per annum: ☐ Upto Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 lacs to 1 Crore ☐ More than 1 Crore

Net Worth (Net worth should not be older than 1 year) Amount Rs. .... as on (date) D D M M Y Y Y Y

Occupation (please tick any one and give brief details) : ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Others______________ Please Specify

Please tick, if any of authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either
☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) (Pl. provide details as per Annexure 2.2A)

Is the entity involved/providing any of the following services : ☐ Yes ☐ No
- For Foreign Exchange / Money Changer Services : ☐ Yes ☐ No
- Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates) : ☐ Yes ☐ No - Money Lending / Pawning : ☐ Yes ☐ No

Any Other Information	

IN CASE OF NRIs/FOREIGN NATIONALS	
RBI Approval Reference Number	
RBI Approval Date	D D M M Y Y Y Y

CLEARING MEMBER DETAILS (To be filled by CMs only)			
Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

SMS Alert Facility Refer to Terms & Conditions given as **Annexure 2.4**	MOBILE No.: + 9 1 [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).			☐ Yes ☐ No
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions **Annexure 2.6**	I wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility, I have read and understood the Terms and Conditions prescribed by CDSL for the same.			☐ Yes ☐ No
	I wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST			
	S.No.	**Stock Exchange Name/ID**	**Clearing Member Name**	**Clearing Member ID (Optional)**
	1.			
	2.			
	3.			
	4.			
	5.			
Easi	To register for ***easi***, please visit our website www.cdslindia.com. ***easi*** allow a BO to view his ISIN balances, transactions and value of the portfolio online.			☐ Yes ☐ No

The mobile number mentioned here belongs to name of relative____________________

☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative☐☐☐☐☐☐☐☐☐☐

The email ID mentioned here belongs to name of relative____________________

☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative☐☐☐☐☐☐☐☐☐☐

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

	First / Sole Holder or Guardian (in case of Minor)	**Second Holder**	**Third Holder**
Name			
Signatures	✍ 20	✍	✍

(Signature should be preferably in blue ink)

Combined Registration Form for availing SMS Alert and/or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST Facility

To, Date :____________________

Gurustox Limited

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL.

a. SMART - SMS alert facility

b. TRUST - Transaction using Secured Texting facility.

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BO ID	1	2	1	0	2	4	0	0									

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

Sole/First Holder's Name : ____________________

Second Holder's Name : ____________________

Third Holder's Name : ____________________

I/We wish to register the following clearing member / IDs under my/our above mentioned BO ID registered for TRUST.

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
1.			
2.			
3.			
4.			
5.			

Mobile No. on which messages are to be sent	+	9	1										

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

(Existing users registered for SMS alerts : Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The Mobile Number is registered in the name of : (Name)

E-mail Id: ____________________

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

I/We consent to CDSL providing to the service provider such information pertaining to account / transactions in my/our account as is necessary for the purpose of availing the said facility.

I/We acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / non-execution of the said transactions based on receipt/nonreceipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee / charges as may be levied by the depository from time to time.

21 ____________________ ____________________ ____________________

Signature of Sole/First Holder Signature of Second Holder Signature of Third Holder

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) service offered by CDSL

1. Definitions:
   In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:
   I. "Depository" means Central Depository Services (India) Limited (CDSL)
   ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
   iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
   iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
   v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depositow shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure ofthe service provideror network.
4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for de-registration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues. the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the B0/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. in the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for de-registration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system it the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. **Indemnity:**
    In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages. claims. demands, proceedings. loss, cost. charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. **Disclaimer:**
    Depository shall be absolved of any liability in case :-
    a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
    b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such sen/ice provider.
    c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

✍ 22

Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise.

Fees, Charges and deposits

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Tower, Dalal Street, Fort, Mumbai-400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. 'Alerts' means a customized SMS sent to the BO over the said mobile phone number.
6. 'Service Provider' means a cellular service provider(s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
7. 'Service' means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The service may be discontinued for a specific period/indefinite period with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository.
   In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the services depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledge that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or in accuracy. In case of BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the errors as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO an account to avail SMS alerts facility.
5. The BO authorized the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

23

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

6. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
7. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
8. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to change such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall made reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository will not be liable for any unauthorized use or access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by an third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, changes and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out or interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

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

Governing Law and Jurisdiction :

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

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

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

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the B05 would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of registration/modification (Please cancel out what is not applicable).

DP ID	1	2	1	0	2	4	0	0	**BO ID**							

Sole/First Holder's Name : ______________________

Second Holder's Name : ______________________

Third Holder's Name : ______________________

Mobile No. on which messages are to be sent

+	9	1										

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

The Mobile Number is registered in the name of: ______________________

E-mail Id: ______________________

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

✍ 24 ______________________ Signature of Sole/First Holder

✍ ______________________ Signature of Second Holder

✍ ______________________ Signature of Third Holder

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

*** Please do not use correction fluid, all cutting must be attested by all the joint holder(s).**

Place :...................................Date: ....

OPTION FORM FOR ISSUE OF DIS BOOKLET

DP ID	1	2	1	0	2	4	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,
Gurustox Limited
Date :____________________

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

Dear Sir / Madam,
I/We hereby state that : [Select one of the options given below]

☐ **OPTION 1 :**

I/We request you to issue Delivery Instruction Slip (DIS) booklet to me/us on opening my/our CDSL account through I/We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with____(name of attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS Manager

OR

☐ **OPTION 2 :**

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

	First / Sold Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	✍ 25	✍	✍

DECLARATION FOR AVAILING OF BASIC SERVICE DEMAT ACCOUNT (BSDA) FACILITY

To,
Gurustox Limited
Date :____________________

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001

Dear Sir / Madam,

☐ I/We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form.

☐ I/We do not wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form.

DP ID	1	2	1	0	2	4	0	0	**Client ID**								

	NAME	**PAN**
Sole/First Holder		
Second Holder		
Third Holder		

I/WE have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time.

I/We also undertake to ocmply with the guidelines issued by any such authority of BSDA facility from time to time.

I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular account as informed by the DP.

I/We, the first / sole holder also hereby declare that I/We do not have / propose to have any other demat account across depositories as a first / sole holder.

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Signatures	✍ 26	✍	✍

DEMAT DEBIT AND PLEDGE INSTRUCTION

I/ We ____________________having Demat Account No.12102400_______with Gurustox Limited to execute 'Demat Debit and Pledge Instruction' (DDPI) for the purpose of transfer of securities towards deliveries / settlement obligations and pledging / re-pledging.

I/We authorize you to follow these instructions across exchanges & across segments in which I/We have already opened accounts with you or I/We may open account in future. As my/our Broker i.e agent & or DP. I/We direct and authorize you to carry out dealings on my/our behalf as per instructions given below.

I/We shall be liable for all the loses, damages and actions which my arises a consequence of your adhering to and carrying out my/our directions given above and further agree that you shall not be liable for any claim what so ever, or for any consequential, incidental, special or exemplary damages, caused by transfer/pledge/re-pledge/de-pledge of securities under this DDPI authorization FOR THE FOLLOWING PURPOSES.

Purpose 1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	27 1st Holder	2nd Holder	3rd Holder
Purpose 2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	28 1st Holder	2nd Holder	3rd Holder
Purpose 3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	29 1st Holder	2nd Holder	3rd Holder
Purpose 4	Tendering shares in open offers through Stock Exchange platforms	30 1st Holder	2nd Holder	3rd Holder

Exchange	Depository	Account No.	Account Type
NSE	CDSL	1210240000000169	CDSL POOL
NSE	NSDL	IN30209210157339	NDSL POOL
NSE	CDSL	1202060002865584	CDSL POOL (TM-FO)
NSE	CDSL	1210240000000095	CDSL CLIENT SECURITIES MARGIN PLEDGE ACCOUNT
NSE	CDSL	1210240000000057	CDSL CLIENT UNPAID SECURITIES PLEDGEE ACCOUNT
NSE	CDSL	1100001100016337	CDSL EARLY PAY-IN

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Address			
Signatures	31		

Place:__________________ Date : __________________

Declartion Request to update Mode of Operations for Demat Account

Date:_______________

To,
Gurutsox Limited
Corporate Office: H.NO.1073,Sector 40, Gurgaon -122001

Dear Sir/ Madam,

Sub : Request to update Mode of Operations for Demat Account _______________________

We would like to update mode of operation in the Demat account number ______________ held with GurustoxLtd., as below:

Mode of Operation:	Jointly	☐	Anyone of the holder or survivor(s)	☐
Communication Preferences:	First Holder	☐	All Holders	☐

We understand that If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified op erations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

✍ 32

✍	✍	✍
Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

Gurustox Limited

CDSL DP ID: 12102400 • SEBI REGN. No. IN-DP-805-2025

Corporate Office: H.No.- 1073, Sector 40, Gurgaon-122001 Ph. : 0124-4061723

E-mail : info@Gurustox.com

CDSL
Your Depository
ISO 27001 Certified

SCHEDULE-A

SCHEDULE OF CHARGES FOR DEMAT ACCOUNT INDIVIDUAL / CORPOR

NATURE OF SERVICES	CHARGES (Please tick whichever applicable)		
	☐ **Regular Scheme**	☐ **Gurustox Relax**	☐ **Life Time**
Account Maintenance Cycle	Four Quarter (1 Year)	Twenty Quarter (5 Year)	Life Time
Maintenance Charges (Non-Corporate Account)	₹399/- for first Quarter remaining three Quarters FREE	₹999/- for first Quarter remaining nineteen Quarters FREE	₹1999/-
Maintenance Charges (Corporate Account)	₹1250/- for first Quarter remaining Quarters FREE		
TRANSACTION CHARGES			
Delivery Market Transaction	₹20/- per instruction or 0.02% of transaction value, whichever is higher, subject to maximum of ₹100/-		
Delivery Off Market Transaction	₹25/- per instruction or 0.03% of transaction value, whichever is higher, subject to maximum of ₹100/-		
Pledge Creation/Closure/Invocation	₹50/- per instruction or 0.02% of transaction value, whichever is higher		
Demat Charges	₹50/- for up to first hundred and after first hundred ₹10/- for every hundred securities or part thereof or a flat fee ₹10/- per certificate whichever is higher plus courier charges of ₹40 for every 25 certificate and part thereof		
Remat Charges	₹100/- for up to first hundred and after first hundred ₹30/- for every hundred securities or part thereof or a flat fee ₹30/- per certificate whichever is higher		
Mutual Funds (Destat / Redemption)	₹50/- per instruction plus courier charges		
Instruction Booklet	₹25/- plus courier charges		
BSDA CHARGES	Up to Rs 4 lakhs: No charges, More than Rs 4 lakhs but up to INR 10 lakhs: INR 100 annually, More than Rs 10 lakhs: Not eligible for BSDA, regular AMC applies.		

Note:

- The Depository Participant shall reserve the right to revise the charges by giving not less than 30 days notice in writing to the client.
- Client will have to pay the additional charges if not covered in above charges and imposed time to time by the Depository.
- Modification in client detail, 20/- per instance. Maintenance charges will be charged in advance at the time of opening the account.
- Rejection charges 20/- per rejection plus courier charges.Slip Rejection/Fail charges 10/- per rejection.
- Off-Market Instruction not received prior to 24 hours of execution will be received at client's risk.
- Periodic statement free on Email and Rs 50 towards courier charges if sent physically.
- Non-periodic statement shall be charged @ 5/- per page and postage/courier charge @ Rs 40 or actual charges whichever is higher.
- In case of non-payment of bill/dues within 15 days of due date, interest shall be charged @ 5.0% per month on the outstanding dues.
- Rs 100 will be charged to client in case of New Delivery Instruction Booklet is requested without requisition slip.
- All charges are exclusive of GST. Taxes and other Government levies will be charges extra as applicable from time to time.
- It is hereby informed that with the issuance of CAS from Depositories, Gurustox Limited have discontinued dispatching mandatory annual physical statement.
- Further, it should also be noted that the dispatch of annual CAS statements shall be discontinued if the account continuous to remain zero balance even After one year and/or if no Annual Maintenance Charges(AMC) is received by the DP.

✍ 33	✍	✍
Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holde

GuruStox

Grow With us

CIN No. - U67120DL1993PLC056460

SEBI Registration No.: INZ000255037, SEBI REGN. No. IN-DP-805-2025

Clearing No-M50644

Exchange Memberships:

NSE – CM, F&O,(Member ID: 08052)

BSE – CM, F&O (Member ID: 6249)

Depository Participant: CDSL (DP ID: 12102400)

Regd.Office: 1401,14th Floor Chiranjiv Tower 43, Nehru Place, New Delhi- 110019
Corporate Office: H.NO.1073, Sector 40, Gurgaon, Harayna-122002
Website:www.gurustox.com, Email: hplnse@Gmail.com
Tel.: + 91-1244061723 , 9667953516 , 9818133883

In case of any grievances please write to info@gurustox.com, grievance@gurustox.com