

Eureka Stock & Share Broking Services Limited

SEBI Regn. No. INZ000169839



KYC Form

2-in-1 Trading & Demat Account Opening Kit

Serial No.		Form No.	Eu -	
Client Name				
Branch Code		BO ID		
		UCC		
CKYC No.			KRA Status	

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PLEASE READ "ESSBSL" AS "EUREKA STOCK & SHARE BROKING SERVICES LIMITED" WHEREVER IT APPEARS

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SEBI REGISTRATION NUMBERS

NATIONAL STOCK EXCHANGE OF INDIA LIMITED	CAPITAL MARKET	INZ000169839
NATIONAL STOCK EXCHANGE OF INDIA LIMITED	FUTURE & OPTIONS SEGMENT	
NATIONAL STOCK EXCHANGE OF INDIA LIMITED	CURRENCY DERIVATIVES SEGMENT	
NATIONAL STOCK EXCHANGE OF INDIA LIMITED	COMMODITY SEGMENT	
BOMBAY STOCK EXCHANGE LIMITED	CAPITAL MARKET SEGMENT	
BOMBAY STOCK EXCHANGE LIMITED	FUTURE & OPTIONS SEGMENT	
BOMBAY STOCK EXCHANGE LIMITED	CURRENCY DERIVATIVES SEGMENTS	
BOMBAY STOCK EXCHANGE LIMITED	COMMODITY SEGMENT	
METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED	CAPITAL MARKET SEGMENT	
METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED	FUTURE & OPTIONS SEGMENT	
METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED	CURRENCY DERIVATIVES SEGMENTS	INDP6542021
MULTI COMMODITY EXCHANGE OF INDIA LIMITED	COMMODITY SEGMENT	
NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED	COMMODITY SEGMENT	INH300002910
NATIONAL SECURITY DEPOSITORY LIMITED	DEPOSITORY PARTICIPANT	
CENTRAL DEPOSITORY SERVICES (I) LIMITED	DEPOSITORY PARTICIPANT	INA000021137
SECURITIES AND EXCHANGE BOARD OF INDIA	RESEARCH ANALYST	
SECURITIES AND EXCHANGE BOARD OF INDIA	INVESTMENT ADVISER	

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Level 4	rjs@eurekasec.com

INVESTOR GRIEVANCE

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NATIONAL STOCK EXCHANGE OF INDIA LIMITED	ignse@nse.co.in	022 2659 8190/91
BOMBAY STOCK EXCHANGE LIMITED	is@bseindia.com	022 2272 8016
METROPOLITAN STOCK EXCHANGE OF INDIA LTD	investorcomplaints@msei.in	022 6112 9069
MULTI COMMODITY EXCHANGE OF INDIA LTD	grievance@mcxindia.com	022 6640 6789
NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED	ig@ncdex.com	022 4886 7000
NATIONAL SECURITIES DEPOSITORY LIMITED	relations@nsdl.co.in	1800 21 09911
CENTRAL DEPOSITORY SERVICES (I) LIMITED	complaints@cdslindia.com	1800 22 5533

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

Type	Documents (Copies of all documents to be Self Attested)
Individual	❖ Photograph ❖ PAN Card ❖ Proof of Permanent Address (Aadhaar Card, Voters ID Card, Valid Passport, Valid Driving License) ❖ Proof of Correspondence Address (Latest Telephone & Electricity Bill, not more than 3 months old) ❖ Bank Proof (Cancelled cheque with pre printed Name of Account Holder, MICR & IFSC Code) ❖ Cheque for DP AMC (as per scheme opted) ❖ ITR (for trading in derivative segment)
Non Resident Indian (NRI)	❖ Photograph ❖ PAN Card ❖ Proof of Foreign Address ❖ Proof of Local Address ❖ Notarised Copy of Valid Full Passport With Visa/ PIO Card/ OCI Card ❖ In Case of Merchant Navy NRIs, Mariner's Declaration of Certified Copy of Continuous Discharge Certificate ❖ Bank Proof NRE or NRO Savings A/C (Cancelled cheque with pre printed Name of Account Holder, MICR & IFSC Code) ❖ Copy of PIS Approval Letter ❖ Cheque for DP AMC (aA/c)s per scheme opted) ❖ Tax Identification Number (TIN)
Corporate	❖ PAN Card of Company, Directors & Authorised Signatory ❖ Address Proof of Company (Trade License/ Rent Agreement/ Utility Bills / Bank Statement) ❖ Address Proof of Directors & Authorised Signatory (as per the document list for individual) ❖ Photograph of Directors & Authorised Signatory ❖ Bank Proof (Cancelled cheque with pre printed Name of Account Holder, MICR & IFSC Code) ❖ Copy of Memorandum and Article of association ❖ Board resolution for dealing in the securities ❖ Audited annual report for last 2 years ❖ Income tax returns for last 2 years ❖ Certificate of Incorporation ❖ List of Directors along with DIN No. on the letter head of the company ❖ Authorised signatories list with specimen signature on the letter head of the company ❖ Form 32 / DIR 12 with Challan ❖ Form 18 / INC 22 with Challan ❖ Latest Share Holding Pattern of the Company ❖ Networth Certificate(if available) ❖ MCA Master Data ❖ Cheque for DP AMC (as per scheme opted)
Partnership Firm	❖ PAN Card of the Partnership Firm & All Partners ❖ Address Proof of Partnership Firm (Trade License/ Rent Agreement/ Utility Bills / Bank Statement) ❖ Address Proof of All Partners (as per the document list for individual) ❖ Photograph of All Partners ❖ Bank Proof (Cancelled cheque with pre printed Name of Account Holder, MICR & IFSC Code) ❖ Notarised Partnership Deed (in case of registered partnership firm) ❖ Authority letter of firm approved by all partners for the participation in equity ❖ Certificate of Registration (For Registered Partnership Firm Only) ❖ List of Partners ❖ Authorised Signatories list with Specimen Signatures ❖ Income Tax Returns for last 2 year ❖ Balance Sheet of firm for last 2 financial years ❖ Cheque for DP AMC (as per scheme opted) ❖ Undertaking for Partnership Firm
Limited Liability Partnership (LLP)	❖ PAN Card of the Partnership Firm & All Partners ❖ Address Proof of Partnership Firm (Trade License/ Rent Agreement/ Utility Bills / Bank Statement) ❖ Address Proof of All Partners (as per the document list for individual) ❖ Photograph of All Partners ❖ Bank Proof (Cancelled cheque with pre printed Name of Account Holder, MICR & IFSC Code) ❖ Notarised Partnership Deed ❖ Authority letter of firm approved by all partners for the participation in equity ❖ Certificate of Registration ❖ List of Partners ❖ Authorised Signatories list with Specimen Signatures ❖ Income Tax Returns for last 2 Years ❖ Balance Sheet of Firm for last 2 Financial Years ❖ MCA Master Data ❖ Cheque For DP AMC (as per scheme opted)

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

Type	Documents (Copies of all documents to be Self Attested)
Hindu Undivided Family (HUF)	❖ PAN Card of HUF & Karta ❖ Address Proof of HUF (Trade License/ Rent Agreement/ Utility Bills / Bank Statement) ❖ Address Proof of Karta (as per the document list for individual) ❖ Photograph of Karta ❖ Bank Proof of HUF (Cancelled cheque with pre printed Name of Account Holder, MICR & IFSC Code) ❖ Income Tax Return for Last 2 Year of HUF ❖ Balance Sheet for Last 2 Year of HUF ❖ Deed of Declaration of HUF ❖ List of Co-Parceners with DOB, Relationship with Karta and Specimen Signatures ❖ Cheque For DP AMC (as per scheme opted)
Trusts	❖ PAN Card of Trust, All Trustees & Authorised Signatory ❖ Address Proof of Trust, All Trustees & Authorised Signatory ❖ Bank Proof (Cancelled cheque with pre printed Name of Account Holder, MICR & IFSC Code) ❖ Notarised Trust Deed ❖ Authority Letter of Trust duly signed by All Trustees ❖ Certificate of Registration (for registered trust only) ❖ List of Trustees ❖ Authorised Signatories list with Specimen Signatures ❖ Photograph of All Trustees & Authorised Signatory ❖ Tax Returns for last 2 Years ❖ Balance Sheet of Trust for last 2 Financial Years ❖ Cheque For DP AMC (as per scheme opted)
Minor	❖ PAN Card of holder (Minor) ❖ PAN Card of Guardian ❖ Address proof of Minor (Aadhar Card/Passport) ❖ Address proof of Guardian (Aadhar Card/Passport/voter ID card/Driving License) ❖ Bank Proof (Cancelled cheque with pre printed Name of Account Holder, MICR & IFSC Code) ❖ Notarized Birth Certificate ❖ Cheque for DP AMC (as per scheme opted)

In terms of SEBI circular no. SEBI/MRD/SE/CIR-42/2003 dated November 19, 2003 issued by the Securities and Exchange Board of India the broker member is obliged to disclose to its client that depending upon the market scenario the members/its Directors or its associates do invest/trade in capital/derivatives segment. The same may be noted.

IMPORTANT MARKINGS



Signature of the Client / First or Sole Holder



Signature of the Nominee / Guardian / Introducer / Second Holder / Third Holder / Witness



Signature of the Authorized Signatory / The Participant (For Office Use)

M

Mandatory

IND

Individual

NON-IND

Non-Individual

V

Voluntary

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Central KYC Registry (Related Person)



CENTRAL KYC REGISTRY Know Your Customer (KYC) Application Form

M IND

For office use only

(To be filled by financial institution)

Application Type*

New ☐ Update ☐

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal

☐ Minor

☐ Aadhaar OTP based E-KYC (in non-face to face mode)

1. PERSONAL DETAILS* (Please refer instruction A at Page 6)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as PAN)				
Maiden Name				
Father / Spouse Name*				
Mother Name				
Date of Birth*				
Gender*	☐ M - Male	☐ F - Female	☐ T - Transgender	
PAN*				☐ Form 60 furnished
Marital Status*	☐ Single	☐ Married		
Nationality*	☐ Indian	☐ Other	Please Specify	
Residential Status*	☐ Resident Individual	☐ Non Resident Indian	☐ Foreign National	☐ Person of Indian Origin

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at Page 6)

I. Certified copy of Official Valid Document (OVD) or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A - Passport Number		Expiry Date	
☐ B - Voter ID Card			
☐ C - Driving Licence		Expiry Date	
☐ D - NREGA Job Card			
☐ E - National Population Register Letter			
☐ F - Proof of Possession of Aadhaar			
II. ☐ E - KYC Authentication			
III. ☐ Offline verification of Aadhaar			

☐ PHOTO*

Affix recent passport size photograph and Sign across it

Z - Others Identification Number

(any document notified by Central Government)

Address Type* ☐ Residential/Business ☐ Residential Business ☐ Registered Office ☐ Unspecified

Line 1*

Line 2

Line 3

District* Pin/ Post Code* City/ Town/ Village*

State/ U.T Code*

ISO 3166 Country Code* (For State/U.T Code - please refer Page No. 10)

3. CURRENT ADDRESS DETAILS (Please refer instruction B at Page 6)

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

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A - Passport Number	
☐ B - Voter ID Card	
☐ C - Driving Licence	
☐ D - NREGA Job Card	
☐ E - National Population Register Letter	
☐ F - Proof of Possession of Aadhaar	
II. ☐ E - KYC Authentication	
III. ☐ Offline verification of Aadhaar	
IV. ☐ Deemed Proof of Address - Document Type code	
V. ☐ Self Declaration	Z - Others Identification Number

Address **Type*** ☐ Residential/Business ☐ Residential Business ☐ Registered Office ☐ Unspecified
Line 1* _____
Line 2 _____
Line 3 _____ City/ Town/ Village* _____
District* _____ Pin/ Post Code* _____ State/ U.T Code* _____
ISO 3166 Country Code* _____ (For State/U.T Code - please refer Page No. 10)

☐ **4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at Page 6)**

Tel. (Off) _____ Tel. (Res) _____ Mobile _____
Email ID _____

☐ **5. REMARKS (If any)**

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. 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/ KYC Registration Agency (KRA) through SMS/Email on the above registered number/email address.
- I am also aware that for Aadhaar OVD based KYC, my KYC request shall be validate against Aadhaar details. I hereby consent to sharing my masked Aadhaar card with readable QR code or my Aadhaar XML/ Digilocker XML file, along with pass code and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purpose only.

Date DD - MM - YYYY Place _____

[Signature / Thumb Impression]



Signature/ Thumb Impression of Applicant

7. ATTESTATION/ FOR OFFICE USE ONLY

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

IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

IPV Date DD - MM - YYYY
Emp. Name _____
Emp. Code _____
Emp. Designation _____
Emp. Branch _____

INSTITUTION DETAILS

Name **EUREKA STOCK & SHARE BROKING SERVICES LIMITED**
Code **IN0262**

[Institution Stamp]



[Employee Signature]

Instructions/ Check list/ Guidelines for filling Legal Entity/ Other than Individuals KYC Application Form

- A) Clarification/ Guidelines on filling 'Personal Details' section
- Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
 - One the following is mandatory : Mother's name, Spouse's name, Father's name.
- B) Clarification/ Guidelines on filling 'Current Address details' section
- In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
 - PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
 - State/ U.T Code and Pin/ Post Code will not be mandatory for Overseas addresses.
 - In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
 - In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
 - List of documents for 'Deemed Proof of Address':
- | Document Code | Description |
|---------------|---|
| 01 | Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill). |
| 02 | Property or Municipal tax receipt. |
| 03 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 04 | Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation. |
- Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
 - "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
 - "Digital KYC process" has to be carried out as stipulated in the PML Rules, 2005.
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository
- C) Clarification / Guidelines on filling 'Current Address details' section
- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
 - Do not add '0' in the beginning of Mobile number.
- D) Clarification/ Guidelines on filling 'Related Person details' section
- Provide KYC number of related person, if available.
- E) Clarification on Minor
- Guardian details are optional for minors above 10 years of age for opening of bank account only
 - However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

CENTRAL KYC REGISTRY Know Your Customer (KYC) Application Form

M **NON-IND**

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 Page 8)

☐ Name*

Entity Constitution Type*

☐ Private Ltd. Co.	☐ Public Ltd. Co.	☐ Body Corporate.	☐ Partnership	☐ Trust/ Charity/ NGO
☐ HUF	☐ FPI Category I	☐ FPI Category II	☐ AOP	☐ Bank
☐ Defence Establishment	☐ Body of Individuals	☐ Society	☐ LLP	☐ Non-Government Organization
☐ Government Body	☐ AoP for holding the permitted Securities			☐ Other (Please specify)

Entity Constitution Type Code*

☐ Please Specify

(Please refer instruction B at Page 8)

Date of Incorporation / Formation*

Date of Commencement of Business

Place of Incorporation / Formation*

Country of Incorporation / Formation*

TIN or Equivalent Issuing Country

PAN*

Form 60 furnished ☐

TIN / GST Registration Number

Registration Number

2. PROOF OF IDENTITY (PoI)* (Please refer instruction B at Page 8)

- ☐ 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 Deed ☐ Trust Deed
- ☐ Resolution of Board/ Managing Committee behalf ☐ 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 Page 8)

3.1 Registered Office Address/ Place of Business*

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

☐ Latest Telephone Bill (Landline only) ☐ Latest Electricity Bill ☐ Latest Bank Account Statement

☐ Registered Lease/ Sale Agreement of Office Premises **Validity/Expiry Date of POA**

☐ Any other proof of address document

Line 1*

Line 2

Line 3

District*

Pin/ Post Code*

City/ Town/ Village*

State/ U.T Code*

ISO 3166 Country Code*

(For State/U.T Code - please refer Page No. 10)

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

Line 1*

Line 2

Line 3

District*

Pin/ Post Code*

City/ Town/ Village*

State/ U.T Code*

ISO 3166 Country Code*

(For State/U.T Code - please refer Page No. 11 & for Country Code - please refer CKYC Instruction)

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction D at Page 8)

Tel. (Off)

Mobile

Email ID

Mobile

Email ID

5. NUMBER OF RELATED PERSONS

(Please refer instruction E at Page 8)

6. REMARKS (If any)

- 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/KYC Registration Agency (KRA) through SMS / Email on the above registered number/email address.

[Signature / Thumb Impression]

[illegible]

 Signature/ Thumb Impression of Applicant

Documents Received ☐ Certified Copies ☐ Equivalent e- document

INSTITUTION DETAILS

Identity Verification ☐ Done IPV Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Name **EUREKA STOCK & SHARE BROKING SERVICES LIMITED**

[illegible]Code **IN0262**[illegible][illegible][illegible]

A) Clarification / Guidelines for filing Entity Details section

A - Sole Proprietorship
B - Partnership Firm
C - HUF
D - Private Limited Company
E - Public Limited Company
F - Society
G - Association of Persons (AOP)

I - Liquidator

J-Limited Li

K - Artificial Liability Partnership

L - Public Sector Banks

M - Central/ State Gove

N - Section 8 Companies (Companies Act, 2013)

...data on the use of the quantities EOPM60 and

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 available.

1. Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
2. Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
3. Certified 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 PML Rules, 2005.
6. KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

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.

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.

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]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State/ U.T Code and Pin/ Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
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 digits) of 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 persons is to be made by the RE.

Annexure A2 | CENTRAL KYC REGISTRY Know Your Customer (KYC) Application Form

Related Person 1

M

NON-IND

For office use only Application Type* New ☐ Update ☐ Delete ☐
(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

☐ 1. DETAILS OF RELATED PERSON* (Please refer instruction E at Page 8) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

☐ Addition of Related Person ☐ Deletion ☐ Updation KYC Number of Related Person (if available*)
Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please Specify)
DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

☐ 1.1 PERSONAL DETAILS* (Please refer instruction E at Page 8)

Name* (Same as PAN) Prefix First Name Middle Name Last Name
Maiden Name
Father / Spouse Name*
Mother Name
Date of Birth* DD MM YY YY Gender* ☐ M- Male ☐ F- Female ☐ T- Transgender
PAN* ☐ Form 60 furnished
Nationality* ☐ Indian ☐ Other Please Specify

☐ 1.2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at Page 8)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A - Passport Number Expiry Date DD MM YY YY
☐ B - Voter ID Card
☐ C - Driving Licence Expiry Date DD MM YY YY
☐ D - NREGA Job Card
☐ E - National Population Register Letter
☐ F - Proof of Possession of Aadhaar
II. ☐ E - KYC Authentication
III. ☐ Offline verification of Aadhaar
Z - Others Identification Number
(any document notified by Central Government)



Address Type* ☐ Residential/Business ☐ Residential Business ☐ Registered Office ☐ Unspecified
Line 1*
Line 2
Line 3 City/ Town/ Village*
District* Pin/ Post Code* State/ U.T Code*
ISO 3166 Country Code* (For State/U.T Code - please refer Page No. 10)

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction B at Page 8)

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

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A - Passport Number
☐ B - Voter ID Card
☐ C - Driving Licence
☐ D - NREGA Job Card
☐ E - National Population Register Letter
☐ F - Proof of Possession of Aadhaar
II. ☐ E - KYC Authentication
III. ☐ Offline verification of Aadhaar
IV. ☐ Deemed Proof of Address - Document Type code
V. ☐ Self Declaration Z - Others Identification Number

Address **Type*** ☐ Residential/Business ☐ Residential Business ☐ Registered Office ☐ Unspecified

Line 1* _____
 Line 2 _____
 Line 3 _____ City/ Town/ Village* _____
 District* _____ Pin/ Post Code* _____ State/ U.T Code* _____
 ISO 3166 Country Code* _____ (For State/U.T Code - please refer Page No. 10)

1.4 CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction D at Page 8)

Tel. (Off) _____ Tel. (Res) _____ Mobile _____
 Email ID _____

2. 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/We hereby consent to receiving information from Central KYC Registry/KYC Registration Agency (KRA) through SMS and/or Email on the above registered mobile number/email address.

Date DD MM YYYY Place _____

[Signature / Thumb Impression]



Signature/ Thumb Impression of Applicant

3. ATTESTATION/ FOR OFFICE USE ONLY

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

IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

IPV Date DD-MM-YYYY
 Emp. Name _____
 Emp. Code _____
 Emp. Designation _____
 Emp. Branch _____

☒ [Employee Signature]

INSTITUTION DETAILS

Name **EUREKA STOCK & SHARE BROKING SERVICES LIMITED**
 Code **IN0262**

[Institution Stamp]

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

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

Annexure A2 | CENTRAL KYC REGISTRY Know Your Customer (KYC) Application Form

Related Person 2

M

NON-IND

For office use only Application Type* New ☐ Update ☐ Delete ☐
(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

☐ 1. DETAILS OF RELATED PERSON* (Please refer instruction E at Page 8) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

☐ Addition of Related Person ☐ Deletion ☐ Updation KYC Number of Related Person (if available*)
Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please Specify)
DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

☐ 1.1 PERSONAL DETAILS* (Please refer instruction E at Page 8)

Name* (Same as PAN) Prefix First Name Middle Name Last Name
Maiden Name
Father / Spouse Name*
Mother Name
Date of Birth* DD MM YY YY Gender* ☐ M- Male ☐ F- Female ☐ T- Transgender
PAN* ☐ Form 60 furnished
Nationality* ☐ Indian ☐ Other Please Specify

☐ 1.2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at Page 8)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A - Passport Number Expiry Date DD MM YY YY
☐ B - Voter ID Card
☐ C - Driving Licence Expiry Date DD MM YY YY
☐ D - NREGA Job Card
☐ E - National Population Register Letter
☐ F - Proof of Possession of Aadhaar
II. ☐ E - KYC Authentication
III. ☐ Offline verification of Aadhaar
Z - Others Identification Number
(any document notified by Central Government)



Address Type* ☐ Residential/Business ☐ Residential Business ☐ Registered Office ☐ Unspecified
Line 1*
Line 2
Line 3 City/ Town/ Village*
District* Pin/ Post Code* State/ U.T Code*
ISO 3166 Country Code* (For State/U.T Code - please refer Page No. 10)

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction B at Page 8)

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

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A - Passport Number
☐ B - Voter ID Card
☐ C - Driving Licence
☐ D - NREGA Job Card
☐ E - National Population Register Letter
☐ F - Proof of Possession of Aadhaar
II. ☐ E - KYC Authentication
III. ☐ Offline verification of Aadhaar
IV. ☐ Deemed Proof of Address - Document Type code
V. ☐ Self Declaration Z - Others Identification Number

Address **Type*** ☐ Residential/Business ☐ Residential Business ☐ Registered Office ☐ Unspecified

Line 1* _____
Line 2 _____
Line 3 _____ City/ Town/ Village* _____
District* _____ Pin/ Post Code* _____ State/ U.T Code* _____
ISO 3166 Country Code* _____ (For State/U.T Code - please refer Page No. 10)

1.4 CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction D at Page 8)

Tel. (Off) _____ Tel. (Res) _____ Mobile _____
Email ID _____

2. 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/We hereby consent to receiving information from Central KYC Registry/KYC Registration Agency (KRA) through SMS and/or Email on the above registered mobile number/email address.

Date DD MM YYYY Place _____

[Signature / Thumb Impression]



Signature/ Thumb Impression of Applicant

3. ATTESTATION/ FOR OFFICE USE ONLY

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

IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

IPV Date DD-MM-YYYY
Emp. Name _____
Emp. Code _____
Emp. Designation _____
Emp. Branch _____

 [Employee Signature]

INSTITUTION DETAILS

Name **EUREKA STOCK & SHARE BROKING SERVICES LIMITED**
Code **IN0262**

[Institution Stamp]

BENEFICIAL OWNERSHIP DECLARATION

M **NON-IND**

In case the Applicant is listed on any stock exchange or is a subsidiary of an entity which is listed on a stock exchange, please fill only the below section and sign in Section II.

Name of the Entity

Type of the Entity

Address of the Entity

Name of the Holding Company

I/ We, the undersigned, hereby declare that our company/ holding company is listed on following Stock Exchanges

In case the Any Entity other than a Listed Company, please provide details under Section - I (i) Section - I (ii), as applicable and Section - II to be ticked and filled in.

Section – I (i)

I/ We, the undersigned, hereby declare that following persons own 25% (in case of Companies)/ 15% (in other cases) or more interest in the captioned entity.

Name of Beneficial Owner (Shareholders / Partners/ Trustees etc.)	Address of Beneficial Owner (Shareholders/ Partners/ Trustees etc.)	Beneficial Owner Type	Details of KYC Documents	PAN/ Registration No.	Nationality	% of Shareholding/ Profits/ Interest/ Ownership in the Entity

Please use additional sheet in case of more information to disclose.

Section – I (ii)

Applicable only if there is/ are non-individual shareholder(s)/ partners, etc. having controlling ownership interest in excess of the prescribed threshold as declared in Section – I (i). Following persons(s), have controlling ownership interest in Beneficial Owner of the Entity as declared in Section – I (i) above.

Name of Beneficial Owner (Shareholders / Partners/ Trustees etc.)	Address of Beneficial Owner (Shareholders/ Partners/ Trustees etc.)	Beneficial Owner Type	Details of KYC Documents	PAN/ Registration No.	Nationality	% of Shareholding/ Profits/ Interest/ Ownership in the Entity

Section – II

Applicable, if no person has Controlling Ownership in excess of the prescribed threshold as declared in Section-I. Please provide the details of natural person(s) holding the position of Directors/ Senior Management in the entity (e.g. Directors/ Partners/ Trustees/ etc.) details in Section I (ii).

☐ I/ We declare that no person/ entity holds controlling ownership in the captioned company in excess of the threshold limit prescribed above.

Authorised Signatory Name (I)		Signature
Authorised Signatory Name (II)		Signature

TRADING & DEMAT ACCOUNT RELATED DETAILS

M

BANK ACCOUNT DETAILS

	1 st Account / Primary	2 nd Account	3 rd Account
Bank Name			
Branch Name & Address			
Bank Account No.			
Account Type (Saving / Current / Others In case of NRI-NRE / NRO)			
MICR No.			
IFSC Code			

DEPOSITORY ACCOUNT DETAILS

DP Name			
CDSL / NSDL			
DP ID			
Beneficiary ID (BO ID)			
Beneficiary Name 1			
Beneficiary Name 2			
Beneficiary Name 3			

TRADING PREFERENCES

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

Exchanges	NSE, BSE & MSEI				NSE	MCX, NCDEX, BSE & NSE
	Cash / Mutual Fund	F & O	Currency	Debt	SLBM	Commodity Derivatives
All Segments						

If you do not wish to trade in any of segments / mutual Fund, please mention here _____

Mutual Fund (NSE / BSE / MFU)			IBT / STWT	EGR
NSE	BSE	MFU		
				

PAST ACTIONS

M

Whether of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/ constituent or its Partners/ promoters/ whole time directors/ authorized persons in charge of dealing in securities during the last 3 years:

☐

Yes

☐

No

If YES, Please Specify

Are You Member of Any Stock Exchange?

☐

Yes

☐

No

If YES, Please Specify

WHETHER DEALING WITH ANY OTHER STOCK BROKER/AUTHORIZES PERSON

(In case dealing with multiple stock brokers/ authorized person, provide details of all)

☐

Yes

☐

No

If Yes, please specify

Name of Stock Broker

Name of AP

Name Exchange

Client Code

Details of Disputes/ Dues Pending from/to such Stock Broker/AP:

Whether you are a Member/ AP of any Exchange (Please tick one):

☐

Yes

☐

No

If Yes, provide SEBI/ Exchanges Registration No:

Phone:

Website:

ADDITIONAL DETAILS

GST Registration Details

Whether You Wish to Receive Physical Contract Note (PCN) or Electronic Contract Note (ECN)

☐

ECN

☐

PCN

Whether You Wish to Avail of the Facility of Internet Trading & Mobile Trading

☐

Yes

☐

No

Number of Years of Investment/ Trading Experience

Any Other Information

INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer	First Name	Middle Name	Last Name
Status of the Introducer	☐ Authorized Person ☐ Existing Client	☐ Remisier ☐ Other	☐ Employee (Please Specify)
Address of the Introducer			
Mobile/Phone No. of the Introducer			
		 Signature of the Introducer	





Demat Account Opening Form



DEMAT ACCOUNT OPENING FORM

DP ID : IN302105 | DP ID : 12055800 (CDSL)

M

I/ WE REQUEST YOU TO OPEN A DEPOSITORY ACCOUNT IN MY/OUR NAME AS PER THE FOLLOWING DETAILS:

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

DP ID

--	--	--	--	--	--	--	--

BO ID

--	--	--	--	--	--	--	--

TYPE OF ACCOUNT

STATUS

☐ Individual

☐ NRI

☐ Foreign National

☐ Non-Individual

SUB-STATUS

☐ Individual Resident

☐ NRI-Repatriable

☐ Foreign National

☐ Body Corporate

☐ Qualified Foreign Investor

☐ Trust

☐ Individual Director

☐ NRI-Non Repatriable

☐ Qualified Foreign Investor

☐ Bank

☐ Margin

☐ FI

☐ HUF

☐ FII

☐ LLP

☐ Individual Promoter

☐ Other (Please specify) _____

☐ Mutual Fund

☐ Other (Please specify) _____

☐ CM

DETAILS OF ACCOUNT HOLDER(S)

Name of Sole / First Holder

PAN

--	--	--	--	--	--	--	--

Name of Second Holder

PAN

--	--	--	--	--	--	--	--

Name of Third Holder

PAN

--	--	--	--	--	--	--	--

* Please provide a separate KYC Application Form for all Joint Holders

For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

Name

--	--	--	--	--	--	--	--

 PAN

--	--	--	--	--	--	--	--

IN CASE OF NRIs / FOREIGN NATIONALS/ FIIs / Others (as may be applicable)

RBI Approval PIS Ref.No.

RBI Approval Date

SEBI Regn. No. (for FIIs)

STANDING INSTRUCTIONS

I/ We authorise you to receive credits automatically into my/ our account ☐ Yes ☐ No

Account to be operated through Demat Debit and Pledge Instruction (DDPI) ☐ Yes ☐ No

SMS Alert Facility [Mandatory if you are giving DDPI Ensure that the mobile number is provided in the KYC Application Form]

Sole / First Holder ☐ Yes ☐ No Second Holder ☐ Yes ☐ No Third Holder ☐ Yes ☐ No

Consent mode for BSDA opt-out

☐ Physical Form

☐ Email (form registered email address)

☐ Online / Mobile App

MODE OF RECEIVING STATEMENT OF ACCOUNT (TICK ANY ONE)

☐ Physical Form

☐ Electronic Form [Read Note 5 and ensure that email ID is provided in KYC Application Form]

MODE OF RECEIVING DP CLIENT RIGHTS & OBLIGATIONS (TICK ANY ONE)

☐ Physical Form

☐ Electronic Form

MODE OF RECEIVING RTA DOCUMENTS

☐ Physical Form

☐ Electronic Form

FOR JOINT ACCOUNTS, COMMUNICATION TO SENT TO

☐ First Holder

☐ All Joint Account Holders

Auto Pledge ☐ Yes ☐ No

Saral Account ☐ Yes ☐ No

Positive Confirmation ☐ Yes ☐ No

MODE OF OPERATION FOR JOINT ACCOUNTS

☐ Any Once of the Holder or Survivor(s)

☐ Jointly

☐ As per Resolution (for Non-Individuals Only)

☐ Other

(Please specify) _____

GUARDIAN DETAILS (where sole holder is a minor)

M

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name	
PAN No.	
Relationship of Guardian with Minor	

CLEARING MEMBERS DETAILS (to be filled up by Clearing Members Only)

Name of Stock Exchange	
Name of Clearing Corporation/Clearing House	
Clearing Member ID	
Sebi Registration Number	
Trade Name	
CM-BP-ID (To Be Filled Up By Participant)	

DECLARATION

FOR DEMAT ACCOUNT

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/ us and I/ we have understood the same and I/ we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/ We hereby declare that the details furnished above are true and correct to the best of my/ our knowledge and belief and I/ we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/ we may be held liable for it. In case of non-resident account, I/ we also declare that I/ we have complied and will continue to comply with FEMA regulations. I/ We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

(Additional declaration applicable only for AoPs for opening of demat accounts in the name of Association of Persons (AoP) itself for holding the permitted Securities)

1. I/we confirm that the AoP holds only such securities in dematerialized form as permitted by the statutes governing its constitution.
2. I/we confirm that the demat account is not be used for subscribing / holding other than the permitted securities.

Non-Individuals-Authorised Signatories (Enclose a Board resolution for Authorised Signatories).

Sole/ First Holder/ or Guardian (In case of minor) or First Signatory / Karta of HUF	Name	 Signature
Second Holder or Second Signatory	Name	 Signature
Third Holder or Third Signatory	Name	 Signature

NOTES

1. All communication shall be sent at the address of the Sole/ First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
 - i. Client must ensure the confidentiality of the password of the email account.
 - ii. Client must promptly inform the Participant if the email address has changed.
 - iii. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
5. In case 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
6. Strike off whichever is not applicable.

NOMINATION FOR ANNEXURE A

M

Eureka Stock & Share Broking Services Ltd.

1101, Merlin Infinite, DN 51, Sector 5, Salt Lake City, Kolkata - 700091

FORM FOR NOMINATION

(To be filled in by individual applying singly or jointly)

Date	D	D	M	M	Y	Y	Y	Y	DP ID		I	N	3	0	2	1	0	5	Client ID										
UCC/Trading Code																													

Mandatory Details

1. I / We wish to make nomination [as per details given below] (You can nominate upto 3 persons)

Details	1 st Nominee	2 nd Nominee	3 rd Nominee
Name of the nominee*			
Relationship with the Applicant			
Date of Birth/Name of Guardian (to be provided in case the nominee is a minor)			

2. I want the following nomination details to be printed in the account / holding statements (tick one of the boxes below):

- ☐ Name of the Nominee(s)
- ☐ Whether nomination given: Yes / No (not name of the nominee)

3. Optional details of nomination

a	% Share of nominee** (equal share if % is not specified)			
b	Mobile of nominee***/ Guardian in case of Minor (Please note that the DP will be able to reach out to your nominee if you provide the contact details)			
c	Email ID of nominee***/ Guardian in case of Minor (Please note that the DP will be able to reach out to your nominee if you provide the contact details)			
d	Specify Personal identifier document/Guardian in case of Minor Aadhaar (last four digit), PAN, Driving Licence, Passport ***			

**Any odd lot after division shall be transferred to the first nominee mentioned in the form.

*** The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.

4. Signature:

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

***If nomination is submitted:

· **Online:** validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address.

Physical / offline: wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.

Note:

- Investors can provide, changes or cancel nominations any number of times.
- The signature of all the joint holders shall be obtained for providing / changing nomination regardless of mode of operations.
- This nomination shall supersede any prior nomination made by the investor(s), if any.
- Investors can change nomination any number of times.
- Investor have the right to receive acknowledgement of the nomination form for each instance of nomination / subsequent change.

DECLARATION FOR OPTING OUT OF NOMINATION | ANNEXURE B

M

I hereby confirm that I do not wish to appoint any nominee(s) to my demat account/trading account/mutual fund folio at this point of time.

I understand that –

- (i) the nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.
- (ii) in the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).
- (iii) if no claim is made on the account / folio for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

Name and Signature of Holder		
Name: 	Name: 	Name: 
1.	2.	3.

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

OTHER DETAILS (BOTH FOR TRADING & DEMAT ACCOUNT)

IND

Gross Annual Income Details:
Income Range per Annum (Please Tick Any One)

☐ Below ₹ 1 Lac
 ☐ ₹ 1-5 Lacs
 ☐ ₹ 5-10 Lacs
 ☐ ₹ 10-25 Lacs
 ☐ More than ₹ 25 Lacs

Occupation Type (Please Tick Any One)

☐ Private Sector
 ☐ Public Sector
 ☐ Government Sector
 ☐ Business
 ☐ Agriculturist
☐ Retired
 ☐ Housewife
 ☐ Student
 ☐ Professional
 ☐ Other (Please specify) _____

Please tick, (if Applicable)

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

Any Other Information _____

OTHER DETAILS (BOTH FOR TRADING & DEMAT ACCOUNT)

NON-IND

Income Details Please Specify:
Income Range per Annum (Please Tick Any One)

☐ Below ₹ 20 Lac
 ☐ ₹ 20-50 Lacs
 ☐ ₹ 50 Lacs-1 Crore
 ☐ Above ₹ 1 Crore

Networth Rs. _____ as on D D M M Y Y Y Y (Networth should not be older than 1 year)

Please Tick, if Applicable, for Any of Your Authorized Signatories/ Promoters/ Partners/ Karta/ Trustees/ Whole Time Directors:

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

Nature of Business _____ Any Other Information _____

DECLARATION

FOR TRADING ACCOUNT

- 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/ we am/ are aware that I/ we may be held liable for it.
- 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.
- 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.
- I/ We confirm to receive the account opening document and welcome letter through email and digitally signed with reference to my/ our application for opening of a Trading Account with you. I/ We wish to receive all documents related to account opening documents, welcome letter and CMR Copy (digitally signed) on the registered email id provided.

Place: _____



Signature of the Client

D D M M Y Y Y Y

POLICIES & PROCEDURES

M

Refusal of Orders for Penny Stocks:

"ESSBSL" shall have absolute discretion to term a stock as "PENNY". As per our policy, "PENNY STOCK" can be referred to as the stocks which are appearing in the list of illiquid securities issued by the Exchanges every quarter and any other stocks which ESSBSL might consider to be illiquid. The details of such restricted stocks will be posted on the website of ESSBSL.

ESSBSL at its discretion can accept, refuse or partially accept any buy or sell order for execution from the client in respect of such scrips. ESSBSL may allow restrictive acceptance of orders in such scrips and may demand appropriate declarations and additional margin from the client before accepting order of such stocks. ESSBSL may cancel orders in such scrips received from the clients before execution or partial execution or place any other kind of restrictions on the trade on such scrips without assigning any reasons thereof to the client.

ESSBSL shall not be responsible for any consequential opportunity loss or financial loss that a client may incur from delay or non execution of orders in penny stocks.

Setting up Client's Exposure Limits:

ESSBSL may give an exposure limit which would be a multiple (ranging between one to five times) of the clear ledger balance in the account plus value of the shares given as collaterals computed after applying appropriate haircut. In F&O segment exposure is given on the value of all type of margin levied by the exchanges, after applying appropriate hair cut on the securities given as collateral. The exposure limit may be changed based on the volatility in the market and quality of collaterals.

ESSBSL may set different exposure limits varying for different clients depending on the credit worthiness, integrity and past conduct of the client. The client agrees that ESSBSL shall not be responsible for such variation, reduction or imposition or the clients inability to route any order through ESSBSL's trading system on account of any such variation, reduction or imposition of limits.

Applicable Brokerage Rate:

ESSBSL follows the policy of charging brokerage not more than the maximum permissible brokerage as per the rules and regulations of the exchange/SEBI. Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration. The brokerage slab of a client shall be reviewed at intervals after assessment of the amount and quality of volume generated by the client as per his commitment. The rates may be increased with prospective effect at 15 days notice sent to the E-mail address or postal address of the client registered with ESSBSL. The brokerage amount debited to the client does not include any exchange related charges or statutory levies as applicable. Any other applicable taxes imposed by statutory authorities including securities/commodity transaction taxes, duties, GST, etc will be paid by the client separately as may be levied on the transactions from time to time.

Imposition of Penalty/Delayed Payment Charges by Either Party, Specifying the Rate and the Period

(This Must not Result in Funding by the Broker in Contravention of The Applicable Laws)

Clients will be liable to pay late pay in/delayed payment charges not exceeding 2% per month for not making payment of their pay-in obligation on time as per the exchange requirement or net ledger debit balance as applicable. The Client hereby authorizes ESSBSL to directly debit the same to the account of the client at such period as may deem fit by ESSBSL.

The client agrees that ESSBSL may impose fines/penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/rules/regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where ESSBSL has to pay fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client. The client consents to sharing information relating to his trading account with the Banks/Financial Institutions from which ESSBSL has borrowed funds to meet the pay-in obligations of the client or client's family, in case of delayed payment.

The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation)

ESSBSL shall be entitled to liquidate client's securities, both unpaid securities as well as collaterals pledged towards margins or close out client's open position, without giving notice to the client for non-payment of margins or other amounts including the pay-in obligation, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations. Any and all losses and financial charges on account of such liquidations/closing out shall be charged to and borne by the client.

In case the payment of the margin/security is made by the client through a bank instrument, ESSBSL shall have absolute discretion to give the benefit/credit for the same only on the realization of clear proceeds in ESSBSL bank account. Where the margin/security is made available by way of securities or any other property, ESSBSL is empowered to decline its acceptance as margin/security and/or accept it at such reduced value as ESSBSL may deem fit by applying haircuts or by valuing it by marking it to market. ESSBSL has the sole discretion to decide referred stipulated margin percentage depending upon the market conditions.

In event of death or insolvency of the client, ESSBSL may close out all outstanding positions of the client, adjusting the loss incurred on such closures with the margin deposited by the client and claim further shortfalls, if any, against the estate of the client. The successors or heirs of the client shall be entitled to any surpluses which may result there from.

The above action is at the sole discretion of ESSBSL and may vary from client to client. It shall not be under any obligation to undertake the exercise compulsorily. ESSBSL shall therefore not be under any obligation to compensate or provide reasons of any omission or delay on its part to sell client's securities or close open positions of the client.

Shortages in obligations arising out of internal netting of trades

Policy for settling shortage in obligation arising out of internal netting of trades is as under:

The securities delivered short are purchased from the market on T+1 day and the purchase consideration (including all statutory taxes & levies) along with a penalty is debited to the short delivering seller client. In case the shares are not available for purchase for any reason then the shortage will be closed out as per the prevailing rules of the respective exchanges. Currently, the penalty levied amounts to- NSE clients charged a flat rate of 0.4% on value of purchase and BSE clients charged @1% on value of purchase consideration or as applicable at the time of auction.

Condition under which a Client may not be allowed to take further position or the broker may close the existing position of a Client.

- Client unable to meet his pay-in obligation as per exchange requirement irrespective of the value of collaterals available.
- Long pending debit balance in the client's account (beyond T+5 days).
- Margin shortfall not compensated by the Client.
- Dishonor of cheque.
- Client dealing in "illiquid" stock as declared by ESSBSL.
- Transactions which may appear to be suspicious in nature.
- Further position in the given scrip is prohibited by the Exchange.
- Where based on the happening of an event, ESSBSL has a risk perception that further trading in the contracts/securities may not be in the interest of the clients and/or the market.

Temporarily suspending or closing a Client's account at the clients request:

ESSBSL may carry out periodic review of the client accounts and may suspend the accounts from trading (i.e. prohibiting any market transactions, only allowing client shares/ledger balance settlement to take place) under any of the following circumstances:

- Where the Client is inactive for the last 12 months.
- Where the Client has not cleared his dues after repeated reminders.
- Where physical statements or contract notes, etc are received back undelivered and the Client is not responding to update the correct address.
- Where there is information about the death of the client.
- Where the Client lodges a complaint either directly with ESSBSL or through the Exchange relating to alleged unauthorized trades being executed in his account.
- Where the account is under investigation by any regulatory body.
- As per direction of the Exchanges, SEBI or any other regulatory body.
- On written request received from the Client and the same can be activated on the written request of the Client only.

The Client account can be closed on the written request of the Client provided the client account is settled. If the Client wants to reopen the account then the Client has to again complete the KYC requirement.

Deregistering a Client:

Notwithstanding anything to the contrary stated in the agreement, ESSBSL shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- If the action of the Client are prima facie illegal/improper or such to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- On the death/lunacy or other disability of the Client.
- If the Client being a partnership firm/any other organization, has any steps taken by the Client and/or its partners for dissolution or liquidation.
- If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with ESSBSL.
- If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security.
- If the Client is in breach of any term, condition or covenant of this Agreement.
- Any suspicious information found by ESSBSL in sites like CIBIL, world check, etc or if there is any commencement of a legal process against the Client under any law in force.
- If the Client forms a part of the list of debarred entities published by SEBI and/or any action is taken by NSE/BSE/SEBI on the Client.
- ESSBSL reserves the right to deregister a Client after giving 30 days notice to the Client without specifying any reason whatsoever. ESSBSL may freeze the assets of the Client where it deems prudent and shall have the right to close out the existing positions, sell all the collaterals to recover its dues, if any, before deregistering the Client.

Inactive client account may be considered as inactive if the Client does not trade for a period of 12 months. Calculation will be done at the beginning of every month and a written request has to be made by the Client for reactivation of their account.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses in this document under any circumstances whatsoever. These Policies and Procedures may be amended/changed by giving 15 days notice by the broker, provided the change is informed to me/us through any one or more means/methods. I/We agree never to challenge the same on any grounds including delayed receipt/non-receipt or any other reason whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and ESSBSL before any court of law/judicial/adjudicating authority including arbitrator/mediator, etc.



Signature of the Client



**Tariff Sheets/
Brokerage Slab**



TARIFF SHEETS/ BROKERAGE SLAB

M

Segment	Delivery		Square Off		Remarks
	(%)	(Paisa)	(%)	(Paisa)	
Cash					
Future					
Option					
Currency					
Commodity					
SLBM					
The above rates are exclusive of STT/ CTT, GST, Stamp Duty, SEBI Fee, Transaction Charges & other charges, if any, which will be separately charged as per applicable rates from time to time					 Signature of the Client

FOR OFFICE USE ONLY

	Name, Designation, Code of the Employee	Signature	Date
Documents Verified with Originals		✓	
In-Person Verification Done by		✓	
Form Checked by		✓	
Authorised & Approved by		✓	
A/C. Code Uploaded by		✓	

We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also given/ sent him a copy of 'Rights and Obligations' document (s), Risk Disclosure Document (RDD), Guidance Note and made him aware of the contents therein. We have given/ sent him a copy of all the KYC documents. 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. We also undertake that any change in the 'Rights and Obligations' and Risk Disclosure Document (RDD) would be made available on our website for the information of the clients.

Name of the Authorised Signatory											Seal/Stamp of the intermediary		
✓	Signature of the Authorised Signatory				D	D	M	M	Y	Y	Y	Y	Seal/Stamp of the intermediary

DP ID: IN302105 (NSDL) | DP ID: 12055800 (CDSL)

ELIGIBILITY FOR BSDA

Individuals shall be eligible to opt for BSDA subject to the following conditions:-

- All the individuals who have or propose to have only one demat account where they are the sole or first holder.
- Individuals having any other demat account/s where they are not the first holder shall be eligible for BSDA in respect of the single demat account where they are sole or first holder.
- The individual shall have only one BSDA in his/her name across all depositories.
- Value of securities held in the demat account shall not exceed Rupees Four Lakhs at any point of time.
- BSDA - I is applicable to clients having holding value less than ₹ 4 lakhs.
- BSDA - II is applicable to clients having holding value between ₹ 4 lakhs but up to ₹ 10 lakhs.

WE DO NOT OPT FOR BSDA, HENCE OPT FOR FOLLOWING SCHEME :-

Email *	BO ID	UCC
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Sole/ 1st Holder Signature

2nd Holder Signature

3rd Holder Signature

- The above schedule is effective from 5th May 2022
- Franking/ Stamp charges will be applicable extra

- Page 23

FATCA / CRS DECLARATION

M IND

Part I - Please fill in the country for each of the following:

1. Country of:		2. US Person (Refer definition at bottom)
a) Birth		
b) Citizenship		
c) Residence for Tax Purposes		☐ Yes ☐ No
d) Current Residence (Overseas Country for NRI)		

Part II - Please note:

- a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to **Part III** for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:

I)	☐ TIN or ☐ Functional equivalent (Please specify name and number)		Country of Issue
II)	☐ TIN or ☐ Functional equivalent (Please specify name and number)		Country of Issue
III)	☐ TIN or ☐ Functional equivalent (Please specify name and number)		Country of Issue

- a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/ functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.
- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

Please also fill **Part IV** Self-Certification

Part III - Customer Declaration (Applicable for all customers)

(I) Under penalty of perjury, I certify that:

- The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person) or**
- The applicant is taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

(II) I understand that the ESSBSL is relying on this information for the purpose of determining my status in compliance with FATCA/ CRS. The ESSBSL is not able to offer any tax advice on FATCA/ CRS or its impact. I shall seek advice from professional tax advisor for any tax questions.

(III) I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect

(IV) I agree that as may be required by domestic regulators/ tax authorities the ESSBSL may also be required to inform reportable details to CBDT or close or suspend my account.

(V) I certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct, and complete including the taxpayer identification number/ functional equivalent number of the applicant.

Name	Signature of the Client
	

Part IV - Self-Certification:

To be filled only if- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.	Signature of the Client 
---	--

Document Proof submitted (Please tick document being submitted)

☐ Passport
 ☐ Election Id Card
 ☐ PAN Card
 ☐ Driving License
 ☐ UIDAI Letter
 ☐ NREGA Job Card
 ☐ Govt. Issued ID Card

FATCA / CRS DECLARATION

M **NON-IND**

Applicant Name :

PART I	A.	Is the account holder a Government body/ International Organization/ listed company on recognized stock exchange:	☐ Yes ☐ No
		If "No", then proceed to point B. If "Yes" please specify name of stock exchange, if you are listed company _____ and proceed to sign the declaration.	
	B.	Is the account holder a (Entity/ Financial Institution) tax resident of any country other than India :	☐ Yes ☐ No
		If "Yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.	
	C.	Is the account holder an Indian Financial Institution :	☐ Yes ☐ No
		If "Yes", please provide your Global Intermediary Identification Number (GIIN), if any _____ If "No", proceed to point D.	
	D.	Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen:	☐ Yes ☐ No
		If "Yes", (then please fill FATCA/ CRS self-certification form). If "No", proceed to sign the declaration.	

CUSTOMER DECLARATION

Under penalty of perjury, I/ We certify that:

- The applicant is:
 - an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S.;
 - an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
- The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- I/ We understand that ESSBSL is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/ CRS. I/ We further understand that ESSBSL is not able to offer any tax advice on FATCA/ CRS or its impact on the applicant. I/ We shall seek advice from professional tax advisor for any tax questions.
- I/ We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/ We agree that as may be required by domestic regulators/ tax authorities, ESSBSL may also be required to report, reportable details to the Central Board of Direct Taxes (CBDT) or close or suspend my account.
- I/ We certify that I/We provide the information on this form and to the best of my/ our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of Applicant		
Authorised Signatory 1 	Authorised Signatory 2 	Authorised Signatory 3 
Date:	Place:	

PART II	Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)					
Section 1	Entity Information					
Name of Entity:						
Customer ID (if existing):		Entity Constitution Type:				
Entity Identification Type (Please tick one) ☐ Tax Identification Number (TIN) ☐ US GIIN ☐ Company Identification Number ☐ Global Entity Identification Number (EIN) ☐ Other (Please specify): _____						
Entity Identification No.:						
Entity Identification Issuing Country:		Country of Residence for tax purpose:				
Section 2	Classification on Non-Financial Entities					
I/ We (on behalf of the entity) certify that the entity is:						
a. An entity incorporated and taxable in US (Specified US person): ☐ Yes ☐ No						
If "Yes", please provide your U.S. Taxpayer Identification Number (TIN):						
b. An entity incorporated and taxable outside of India (other than US): ☐ Yes ☐ No						
If "Yes", please provide your TIN or its functional equivalent: Provide your TIN issuing country:						
c. Please provide the following additional details if you are not a Specified US Person (Please tick one)						
FATCA/ CRS classification for Non-financial entities (NFFE) ☐ Active NFFE ☐ Passive NFFE without any controlling Person ☐ Passive NFFE with Controlling Person(s): [☐ US ☐ Others] ☐ Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus ESSBSL is not required to do the reporting).						
Please provide GIIN Number:						
Section 3	Classification of financial institutions (including Banks)					
I/ We (on behalf of the entity) certify that the entity is: ☐ Yes ☐ No						
a. An entity is a U.S. financial institution:						
If "Yes", I. Please provide your U.S. Taxpayer Identification Number (TIN): II. Please provide GIIN, if any:						
If "No", please tick one of the following boxes below:						
FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where					
Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction						
Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction						
Participating FFI in a Non-IGA Jurisdiction						
Non-reporting FI						
Non-Participating FI						
Owner-Documented FI with specified US owners						

Section 4		Controlling person declaration			
If you are classified as "Passive NFFE with Controlling Person(s)" or "Owner documented FFI" or "Specified US person", please provide the following details:					
Name of Controlling Person	Correspondence Address	Country of Residence for Tax purpose	TIN	TIN Issuing Country	Controlling Person Type
Details	Controlling Person 1	Controlling Person 2	Controlling Person 3	Controlling Person 4	Controlling Person 5
Identification Type					
Identification No					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5	Declaration:
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Under penalty of perjury, I/ We certify that:

- The number shown on this form is the correct taxpayer identification number of the applicant; and
 - The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S.; (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof; or
 - The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- I/ We understand that ESSBSL is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/ CRS. I/ We further understand that ESSBSL is not able to offer any tax advice on FATCA/ CRS or its impact on the applicant. I/ We shall seek advice from professional tax advisor for any tax questions.
 - I/ We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
 - I/ We agree that as may be required by domestic regulators/ tax authorities, ESSBSL may also be required to report, reportable details to the Central Board of Direct Taxes (CBDT) or close or suspend my account.
 - I/ We certify that I/ We provide the information on this form and to the best of my/ our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

I/ We hereby confirm that details provided are accurate, correct and complete.

 Authorised Signatory	Name and Company Seal
Date:	Place:

DECLARATION BY KARTA & ALL CO-PARCENERS IN HUF ACCOUNT

M **HUF**

To,

EUREKA STOCK & SHARE BROKING SERVICES LIMITED

1101, 11th FLOOR, MERLIN INFINITE, DN-51, SECTOR 5, SALT LAKE CITY, KOLKATA - 700091

Dear Sir/Madam,

- WHEREAS the Hindu undivided family of is carrying on business in the firm name and style of At or we intend to deal, have or desire to have share trading account with Eureka Stock & Share Broking Services Ltd. (hereafter referred as "Member"). We undersigned, hereby confirm and declare that we are the present adult of the said joint family and that is the present karta of the said joint family.
- We confirm that affairs of the H.U.F firm are carried on mainly by the Karta on behalf and in the interest and for the benefit of all the co-parceners. We hereby authorize the karta on behalf of the H.U.F to deal on Capital Market Segment, Futures and Options Segment Currency Derivatives Segment or any other segment that may be introduced by NSE/BSE/MCX/NCDEX/SLBM in future and the said trading member is hereby authorized to honour all instruction oral or written given by him on behalf of the H.U.F
Mr. / Mrs is authorised to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the H.U.F He is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the H.U.F firm to the member and agree and confirm that any claim due to member for the said H.U.F firm shall be recoverable from the asset of anyone or all of us and also from the of the said joint family including the interest thereon of every co-parceners of the said joint family, including the share of the minor co-parceners, if any.
- We undertake to advise the member in writing of any charge that may occur in the karta ship or in the constitution of the said joint family or of the said H.U.F firm and until receipt of such notice by the member which shall be binding on the said joint family and the said H.U.F firm and on our respective estates. We shall however, continue to be liable jointly and severally to the member for all dues and obligations of the said H.U.F firm in the member's books on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
- We recognize that a beneficiary account can be opened with a Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorise you to recognise the Beneficiary Account No. with Depository opened in name of who is the karta of this H.U.F the names and dates of birth of the present minor coparceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorised to act on behalf of, and bind the said H.U.F. Firm.

Name of the Minor

Father's Name

Date of Birth

.....		
.....		
.....		

We have received and read a copy of a Member's rules and regulations for the conduct of share trading account and we agree to comply with and be bound by the said rules now in force or any charges that may be made therein from time to time.

Thanking You

Yours Faithfully,

(Along with rubber stamp)

Name: Signature of Karta	Name: Signature of Co-Parcener	Name: Signature of Co-Parcener	Name: Signature of Co-Parcener
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DECLARATION BY HUF

M HUF

To,

EUREKA STOCK & SHARE BROKING SERVICES LIMITED

1101, 11th FLOOR, MERLIN INFINITE, DN-51, SECTOR 5, SALT LAKE CITY, KOLKATA - 700091

Dear Sir/Madam,

We have an existing Demat Account No..... Of

..... HUF represented by the karta

Ithe karta of the HUF

hereby declare that the following are the co-parceners of the HUF.

Adults

Sl. No.	Name of Coparcener/Mem	Whether Coparcener/Member	Gender	Date of Birth	Relation with Karta	Signature Of the Member

Minor

Sl. No.	Name of Minor	Relation With Minor	Date of Birth	Relation with Karta	Signature Of Guardian

We further confirm that the business of the said family is carried on by the Karta (.....)

in the interest and for the benefit of the entire body of co-parceners of the joint family. We hereby authorized the karta

Mr. on the behalf of the HUF to open, deal and access Demat account opened with

Eureka Stock & Share Broking Services Ltd. a depository participant of NSDL for and on behalf of the HUF. The depository Participant is hereby

authorized to honour all written instruction given by the karta for and on behalf of the HUF.

FOR

.....



Signature of the Karta with Stamp

INFORMATION TO BE PROVIDED BY THE CLIENT IN RELATION TO THE PMLA, 2002

V

Name of the Client		Client Code
If Business/ Profession	Nature of Business	
	Industry	

Details of my/ our Relatives, having account with ESSBSL

Name	Relationship	UCC

Details of the Corporate / Partnership Firm / Trust etc. where I / we am / are affiliated

Name	Entity Type	Business Nature	Relationship	UCC

I/ We agree to submit every year any one of following documents to ESSBSL:

- | | |
|--|-------------------------------------|
| 1. Profit & Loss Account and Balance Sheet | 2. Form No. 16 (Salary Certificate) |
| 3. Self attested copy of Income Tax Return | 4. Networth Certificate |
| 5. Demat Transaction Statement & Bank Statement (for 6 months) | 6. Share Holding Pattern |

I/We confirm that I/ we will immediately inform ESSBSL in case I/ we am/ are convicted under any grounds or any action is taken against me/ us by any authority(ies).

☐ I/ We hereby declare that I/ we do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act,2002, or

☐ I/ We declare that I/ we fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under):

- ☐ Non resident Client | High Net-worth Clients
- ☐ Politically Exposed Persons | Companies offering foreign exchange offerings
- ☐ Non face to face client | Clients with dubious reputation as per public information available etc.
- ☐ Companies having close family shareholdings or beneficial ownership
- ☐ Trusts, Charities, Non- Governmental Organizations (NGOs) and organizations receiving donations
- ☐ Clients in high risk countries where existence/effectiveness of money laundering controls is suspect etc.

I/We intend to invest in the stock market with:

☐ Own Funds

☐ Borrowed Funds

[If Borrowed Funds, then please specify below Sources of Funds]:

Sources of Borrowed Funds (If Any)	Amount (₹)
I/We hereby declare that I/we am/are beneficial owner of the trading/online account opened with ESSBSL.	
	Signature of the Client

FOR OFFICE USE ONLY

Risk Category	☐ High	☐ Medium	☐ Low
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AUTHORITY LETTER FOR RUNNING ACCOUNT

V

To,

EUREKA STOCK & SHARE BROKING SERVICES LIMITED

Dear Sir / Madam,

I/We as the Client of ESSBSL for Trading in Capital Market Segment and/or Futures & Options Segment and/or Currency Derivatives Segment and/or Commodity Derivatives Segment of NSE/BSE/MSEI/MCX/NCDEX - do hereby authorize ESSBSL for the following:

- In order to facilitate my/our smooth trading operations, I/we authorize ESSBSL to maintain a running account, instead of settlement to settlement clearance of funds/securities due to me/us. In this regard, I/we have been informed about the SEBI circular no. MIRSD/DOP/P/CIR/2021/S77 dated 16/06/2021. I/We have read and understood the same. I/We hereby authorize ESSBSL to maintain a running account in all segments across the Exchanges (NSE/BSE/MSEI/MCX/NCDEX)
- The payout of funds/securities may be retained by ESSBSL and no interest shall be payable by ESSBSL on such retention. I/We further agree that ESSBSL shall not be liable for any claim of loss or profit or for any consequential, incidental, special or exemplary damages, caused by retention of such securities/funds under this agreement or otherwise.
- I/We may be trading in Capital Market Segment and/or Futures & Options Segment and/or Currency Derivatives Segment and/or Commodity Derivatives Segment of NSE and/or BSE and/or MSEI and hence have obligations under various accounts with ESSBSL. In this regard I/we hereby authorize ESSBSL to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in any account across segments/exchanges, without taking any further instruction from me/us. I/We also agree/understand that there shall be no inter-client adjustment for the purpose of settlement of running account.
- I/We hereby further authorize ESSBSL to hold and retain the said funds/securities until a request for the same is made by me/us, subject to the condition that sufficient margin in respect of my/our continued trading, across the exchange and/or across the segments of the exchanges are available with ESSBSL. I/We further authorize ESSBSL to keep my/our shares purchased through it, to deliver and/or adjust said shares against our sales in subsequent settlements i.e. inter transferring the shares from one settlement to another settlement in various segments across Exchanges, unless ESSBSL receives any verbal or written instruction from me/us to deliver the same to my/our Depository Account. Similarly, I/we authorize ESSBSL to transfer electronically against our fund pay out only after getting an instruction from me/us and/or as per SEBI regulations regarding running account settlement issued from time to time. Otherwise the same will remain with ESSBSL against my/our margin obligation towards Capital Market Segment and/or Futures & Options Segment and/or Currency Derivatives Segment and/or Commodity Derivatives Segments.
- I/We authorize ESSBSL to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of funds or by sale of securities which form part of margin.
- The instructions/authorisations made by me/us as above are revocable and can be revoked/withdrawn at any time by giving a notice in writing by me/us.
- I/We agree that (a) in respect of derivatives market transactions, ESSBSL may retain the requisite securities/funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the exchange, (b) in respect of cash market transactions, ESSBSL may retain entire pay-in obligations of funds & securities due from me/us as on the date of settlement and for next day's business, ESSBSL may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement.
- I/We hereby authorize ESSBSL to pledge my/our Securities/Funds (Collaterals) as margin with the Clearing Corporation(s) of the Exchange(s) towards my/our margin/exposure requirements.
- I/We authorize ESSBSL to transfer the funds/securities lying in my/our credit within one working day of the request if the same are lying with ESSBSL and within three working days from the request if the same are lying with the Clearing Corporation(s) of the Exchange(s).
- I/We authorize you to actually settle my account with you **once in a calendar month/once in a calendar quarter**. Further, I/we confirm that I/we will bring to the notice of ESSBSL any dispute arising from the settlement of account or settlement so made in writing within 7 workings days from the date of receipts of funds/securities or settlement of account or statement related to it, as the case may be at ESSBSL's registered office.

Date: _____



Signature of the Client

LETTER OF UNDERSTANDING/AUTHORITY

V

In addition to the 'Rights and Obligations' document, the Client and ESSBSL have agreed to the following terms and conditions to ensure smooth functioning of the operations in the course of trading/investing in securities by the Client through ESSBSL.

1. Digitally signed Contract Notes/Statement of Accounts/RMS Policy

- The Client agrees that ESSBSL will not provide him/her Order Confirmation/Modification/Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. He/She hereby requests ESSBSL to kindly accept his/her mandate holder's verbal orders/instruction in person over phone and execute the same. He/She shall get the required details from the contract notes issued by ESSBSL. The Client understands the risk associated with placement of verbal orders and accepts the same. He/ She will not disown orders under the plea that the same was not placed by him/her.
- The Client agrees that he/she has been made aware/read, understood and accepted the prevailing RMS Policy/all other policies/procedures/information/instructions of ESSBSL and further shall keep himself/herself, updated of any future RMS policy, all other policies/procedures/information/instructions that may be issued from time to time from ESSBSL. The Client shall also access the RMS Policy, all other policies/procedures/information/instructions from the ESSBSL website from time to time. ESSBSL may send any necessary communications to the client on their registered email address. ESSBSL may modify the terms or any additional terms to reflect changes to the law or changes to our policies/procedures etc. The Client agrees to look at the terms regularly & access their account regularly. Changes addressing new functions for policies/procedures will be reflected in the Client's account.

2. Regulatory & other Compliances by clients

- The Client hereby agrees and understand that in case of any non-compliance and/or default by the Client such as cheque bouncing, client code modification, F&O short margin, UCC violation, price rigging or for any other matter as may be decided by ESSBSL from time to time, without prejudice to ESSBSL's other rights, ESSBSL may levy charges/penalty(ies) on the Client and debit such charges/penalty(ies) in the client account which has been imposed by Regulatory Authorities.
- ESSBSL has placed on its website and also made available to the Client on the login into his trading account a detailed document explaining to the Client the features, risk, responsibilities, obligations and liabilities associated with securities trading among others through wireless technology/internet/smart order routing. The Client agrees to go through the above terms and conditions which shall be deemed to be sufficient notice by ESSBSL.
- The Client agrees that a modification/addition/deletion to the terms & conditions on the website shall amount to a valid modification of the present.

3. Client Operations

- The Client agrees that ESSBSL will not be responsible for partial execution of orders placed by the Client. The Client also agrees that all orders placed by him shall be treated as order for that particular session only. In case the Client wants the orders to be carry forward or extended for the day or more number of days he shall communicate the same to ESSBSL.
- The Client is aware that the Client is required to make full payment to ESSBSL for the execution of the contract on the day of execution of trade. The Client explicitly agrees and authorizes ESSBSL to suspend/deactivate his/her accounts for non payment of the above stated dues and such other amounts as may be due from the Client from time to time without giving any further notice or intimation to the Client.
- The Client hereby confirms that he/she will never sublet/allow any third party access to the trading terminal provided to him/her by ESSBSL, nor indulge in/ facilitate any unauthorized trading under any circumstances.
- Adjustment of account between exchanges and segments: The Client hereby informs ESSBSL that he/she have executed/intend to execute an agreement with ESSBSL for trading on different exchanges, i.e. NSE, BSE, MSEI, MCX & NCDEX in cash and derivative segment. The Client requests ESSBSL to transfer, make adjustments and/or set off a part or whole of the securities placed as margin and/or any surplus funds in any of the accounts maintained with ESSBSL against the outstanding dues payable if any, by the client account(s) maintained with ESSBSL. ESSBSL will have lien on the credit balance in any of the Client account for meeting the debit or obligations in progress in any other segment/exchanges of the Client's account. Any entries passed by ESSBSL in accordance with this authorisation will be binding on the Client.

4. Authorisation to debit Demat Account operating charges and account opening charges

- The Client authorises ESSBSL to debit his/her Trading Account for all the charges relating to its Demat Account. The Client understands that the said charges in the Demat Account are incurred from time to time and this authorisation of transferring the same to clients trading account shall remain valid from time to time. The Client also authorises ESSBSL to retain its shares till the clearance of the dues in the trading as well as demat account.
- The Client agrees that the charges towards account opening for equity trading and demat account, if any, would be debited to the ledger account of the Client after opening of account. The entry reflected in the ledger account of the Client would be sufficient acknowledgement of the receipt of account opening charges. The Client agrees and understands that no separate receipt will be issued in this regard.

5. Trade Confirmation to Client

- ESSBSL at its discretion shall also send Trade Confirmations/Margin Calls through SMS at the mobile number provided by the Client. The SMS service may be discontinued for a specified period/indefinite period with or without any prior notice for any reason whatsoever. It shall be the duty of the client to ensure that the mobile number provided in the client registration documents is correct and in operation and/or in working condition at all times. In case the Client has provided and/or incorporated different mobile number in the KYC, ESSBSL may send notice/communication on any of the mobile number, at its discretion. The notice/information/communication through SMS sent to the client shall be deemed to have been received by the client and ESSBSL shall not be under any obligation to confirm the authenticity of the person(s) receiving the SMS.



Signature of the Client

LETTER OF UNDERSTANDING/AUTHORITY

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- The Client is informed that he/she shall update their mobile numbers/email ids with ESSBSL (i.e. Stock Broker/Depository Participant). This will facilitate them to receive information of their transactions, all debits directly from the Exchange(s)/ Depositories on their mobile/email at the end of the day.
- ESSBSL shall not be liable or responsible for any statement received from frauds or impostors and their subsequent consequences.

6. Payment of Margins

- For the purpose of the voluntary clauses the term "Dues of Client" shall include the amount of monies payable by the Client including but not limited to, the purchase price of the securities, Brokerage, Margin money, GST, Turnover Tax, Auction debt and charges, Service charges, Penalties, Late payment charges, Transaction charges, KRA charges, Cheque bounce charges, Penalties for non compliance, Shortfall in margin etc. that may be levied from time to time in the client account as per Regulatory norms.
- All payment for securities bought shall be made out by way of cheque/fund transfer in favour of "Eureka Stock & Share Broking Services Limited". The Client agrees to make such fund transfer from the bank account, the details of which are provided by the client to ESSBSL in the Client Registration Form or in any other document. At the time of settlement of dues of the Client, ESSBSL shall fund transfer in favour of Client which may be payable to a specified bank account of the Client. The Client undertakes that ESSBSL shall execute the orders only after proceeds of the Margin Account are realized and credited to the bank account of ESSBSL. Any payment made by the Client in the form of the account payee cheque shall be considered as Funds only upon the realization of the same.
- The Client hereby agrees to make payment against debit balance and margin payment as demanded by ESSBSL in the form of Funds or securities in proportion as prescribed by ESSBSL or exchange, failing which the broker can square up all or any outstanding position of sale and/ or purchase, in any segment and/or in any Exchange, without any notice to the Client.
- Margin in the form of Securities: ESSBSL, in its absolute discretion will decide the eligible securities, which could be deposited by Client for meeting current or future margin/deposit obligations. ESSBSL would be free to continuously review the eligibility of securities already deposited by the Client. Securities accepted as margin/deposit, shall be valued as per valuation norms decided by ESSBSL from time to time. The Client authorizes ESSBSL to sell their securities to recover any outstanding dues including ledger debits/DP debits/margin requirements in Cash and F&O segment of the Exchanges.
- Lien: The Client agrees that all monies, securities or other property that may be held by ESSBSL on the client's account shall be held by ESSBSL at the sole risk and cost of the Client and such monies, securities or other property as permitted by the Exchange(s) shall be held subject to general lien for the discharge of the clients obligation to ESSBSL under the voluntary clauses irrespective of whether such obligations of the Client is disputed by the Client. ESSBSL shall be under no obligations to release such monies, securities or other property until the Client has discharged its entire obligation in full to ESSBSL under the voluntary clause to the satisfaction of ESSBSL.
- The Client authorizes ESSBSL to use its discretion to close out any part or all of the contracts in Capital Market, Equity and Currency Future & Options segment held in the clients account with ESSBSL for the protection of ESSBSL, in case of any default by the Client. The Client agrees to reimburse any or all such incidental expenses incurred by ESSBSL.
- The Client agrees that in case of any payout (funds/securities) which is yet to be received by him/her for the previous settlement(s), ESSBSL would be entitled to adjust the same against the current or subsequent settlement obligations or other charges or under the circumstances when client defaults.
- Set-off: The Client agrees that ESSBSL may set-off his/her credit balance available in his/her ledger account on any one Exchange/Segment against the debit balance in other Exchange/Segment.
- The Client does hereby confirm that he/she shall not deposit any third party cheque towards meeting ESSBSL's obligation for the trade executed by him and hence shall not hold ESSBSL against any such credit.

7. Communication with Client

- The Client agrees that any notice or communication served on the client under the voluntary clauses shall be valid and binding on him/her and shall be deemed to be duly served, if conveyed in writing through letter, Fax or by personal delivery duly acknowledged by the other party/Courier at the registered post to the address of the client mentioned hereinabove or the last known address, or if electronically delivered at any one of the email id intimated by the client, or by publishing the same in the prominent daily newspaper where the registered/last known business/residential address of the client is situated or if conveyed over telephone/ fax on the last number or if a notice is pasted at the door of the registered address or the last known address of the Client.
- The Client agrees that he will send any communication or notice, to ESSBSL in writing through Letter or by personal delivery duly acknowledged by ESSBSL or by registered post sent at the registered address of ESSBSL mentioned herein above.
- The Client agrees that the primary mode of communication by ESSBSL to the Client will be through e-mails. The Client, therefore, agrees to check his/her e-mail account on a regular basis. (Applicable for ECN clients only).

8. Transfer of Securities

- The Client hereby agrees to ensure that before selling any shares, he has the same in hand. Any loss arising out of auction/closeout due to short selling of shares will be borne by the Client. The Client also agrees to bear any loss arising out of auctions due to incomplete instructions, illegible instructions, unclear instructions and instructions not received on time.



Signature of the Client

LETTER OF UNDERSTANDING/AUTHORITY

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- Any queries related to securities delivered by ESSBSL would be brought to the notice of ESSBSL within seven days of the receipt of such securities in the Client's Demat account. Otherwise it can be presumed that the Client has checked all the securities received by me/us and that they are good as per the prevailing norms.

9. Tape recording of Client conversation

The Client is aware that ESSBSL/Authorised person may tape record the conversation while providing Trade Confirmation/Advisory Services/research calls or otherwise between the Client or the Client's representative and ESSBSL/Authorised person, either personally or over the phone, and the Client hereby specifically permits ESSBSL to do so. Such electronic recording may be relied upon by ESSBSL/Authorised person as and when required to resolve disputes in connection with the trading transaction or otherwise.

10. Severance

In case any one or more of the provisions contained in the voluntary clauses becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality, and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

11. Force Majeure

- The Client agrees not to hold ESSBSL liable or responsible for any delay or default in performance of ESSBSL's obligations due to contingencies beyond ESSBSL's control, such as Fire, Flood, Civic commotion, Earthquake, Riots, Wars, Strikes, Failure of systems, failure of internet links, government/regulatory actions or any other contingencies beyond ESSBSL's control.
- ESSBSL will not be liable to the Client for loss arising due to fire, theft or loss due to human error in case of shares sent for dematerialisation, or any other unforeseen circumstances if the shares are in the custody of ESSBSL beyond the stipulated time.

12. Indemnification

- The Client and the Authorised Person shall indemnify and shall always keep indemnified ESSBSL harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to ESSBSL directly or indirectly, owing to bad delivery (as defined by the Exchange Rules/Regulations/Bye-Laws) of shares/securities and/or as a result of fake/forged/stolen shares/securities/transfer documents that are introduced or may be introduced by or through the Client during the course of its dealings/operations on the Stock Exchange(s).
- The Client undertake that he/she shall not hold ESSBSL, its Directors or Officers towards his/her/their acceptance of any lucrative offer of fixed return on investment made by any of their representative(verbal/written) without the knowledge of ESSBSL and the onus to bring the same to the notice of ESSBSL lies with the Client.
- Trading on all Exchanges is in electronic mode, based on connectivity through various media such as VSAT, Leased line, ISDN, Modem and VPN, as well as through a combination of technologies and computer systems to place and route orders. The Client understands that there exists a possibility of communication failure or system problem or slow/delayed response from systems or a trading halt, or any such other problem/glitch which may result in ESSBSL not being able to establish/provide access to the trading system/network, which may be beyond ESSBSL's control and may result in delays in processing of buy/sell orders either in part or in full. The Client shall be fully liable and responsible for any such problem/fault and shall not make any claims on ESSBSL for the same.

13. General

- The Client understand that information about him/her and their transactions may be reported by ESSBSL to FIU/concerned authorities/regulators without any intimation to the Client and have no objection to the same.
- The Client hereby undertakes to extend full co-operation to ESSBSL in their endeavour towards compliance with Anti-Money Laundering norms, and to not hold ESSBSL legally liable in any manner whatsoever towards the same.
- In case of any delayed payment by the Client towards any obligations on client's part, ESSBSL is authorized to debit Client's Trading account with the delayed payment charges which shall be levied by ESSBSL subject to a maximum of 2% per month.
- The Client does hereby confirm that the extra levy of charges (as per the prevailing rates) on the physical issuance of contract note shall not construe as a matter of dispute in the future.
- All references to the specific quantity/rate/fee, if any, are subjected to change from time to time, as so agreed to in writing between the parties.
- The Client has clearly read and understood all the points mentioned in this Letter of Understanding/Authority. All the instructions are given by the client's own free will. In case Client wishes to withdraw any of the above mentioned terms, he/she shall inform ESSBSL in writing and acknowledge the same at least one week in advance from the date of withdrawal.
- The Client hereby confirms that he/she is not a Stock Broker or Authorised Person or Remieser of any Stock Exchange(s). Further, in the event Client wishes to obtain any membership of any Stock Exchange(s) or wishes to become Authorised Person or Remieser of any Trading member in any Stock Exchange then the Client undertakes to obtain No-objection certificate from ESSBSL prior to making an application to the Exchange(s).

14. Minimum Contract charges

- The Client understands and agrees that the minimum contract charges levied shall be Rs. 25/- per contract (subject to maximum of 2.5%) for all segments except SLBM.
- The Client understands and agrees that the minimum contract charges levied shall be Rs. 50/- per contract for SLBM segment.
- The Client understands and agrees that 1% brokerage shall be charged to participation on Auction Trade.

Signature of the Client		Place	Date
Signed for and on behalf of	Signature	Name & Designation	
Stock Broker	For Eureka Stock & Share Broking Services Ltd.		
	✓ Authorised Signatory		

CONSENT LETTER FOR ELECTRONIC COMMUNICATION

V

**AUTHORISATION TO SEND
CONTRACT NOTE, STATEMENT OF
FUND & SECURITIES ETC.
ELECTRONICALLY**

I/We authorise Eureka Stock & Share Broking Services Ltd ("ESSBSL") to issue the contract notes, statement of funds & securities, circulars, amendments, client registration documents, DP bill, transaction statements, holding & financial statements and such other documents in electronic mode in lieu of physical mode on my/our updated E-mail ID, which is as follows:

Email ID: _____

Any changes in the E-mail ID shall be communicated by me/us in writing to the customer care department of ESSBSL. Further, to my/our authority to ESSBSL to issue Contract notes in digital format I/we authorise ESSBSL 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 the Contract Notes issued to me/us.

I/We authorise ESSBSL to send periodic statements of funds and securities & margin statement etc. in digital format at my/our Email address unless I/we request in writing to send them in paper form. I/We understand and agree that any request to provide paper form of documents shall be charged to me/us by ESSBSL as per the prevailing rates. I/We do hereby confirm that I am aware of an extra levy (as per the prevailing rates) by ESSBSL for physical delivery of any of the aforementioned documents, in case the e-mail sent to me bounces back.

I/We hereby acknowledge that all the documents sent on the above E-mail ID by ESSBSL will be considered as having delivered to me/us once the email leaves the ESSBSL email server and no bounced mail notification is received by ESSBSL.

I/We agree that the log reports of ESSBSL'S dispatching software shall be conclusive proof of dispatch of all statements or bills to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

I/We further agree that in the absence of communication from my/our end regarding non-receipt of documents through e-mail, or notification of any discrepancy within 2 days from the date of issuance of digital contract note through e-mail, ESSBSL may construe that there is a deemed acknowledgement of the document(s) sent to client electronically.

In case I/we wish to withdraw this facility, I/we shall inform ESSBSL in writing at least one week in advance from the date of withdrawal.

Thanking You.

Yours Faithfully,

 Signature of the Client

Date: _____

FAMILY DECLARATION FORM

V

Client Name			
Mobile No.		Email ID	

The above mentioned mobile number and/or email id are used in the below mentioned account(s).

Sr. No.	Existing Client Name/Holdere(s)	UCC	BO ID	Relationship With A/c
1				
2				
3				
4				
5				
6				

Signature Of The Holders

I hereby declare that the aforesaid mobile number and/or email id belongs to me or my family (spouse, dependent children and dependent parents).

 Sole / 1 st Holder Signature	 2 nd Holder Signature	 3 rd Holder Signature
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MUTUAL FUND SERVICE SYSTEM FACILITY

V

I/ We _____ am/ are registered as your client with UCC _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd./ National Stock Exchange of India Ltd. (Exchange). I/ We am/ are interested in availing the BSE StAR MF/ MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF/ MFSS of the Exchange.

For the purpose of availing the BSE StAR MF/ MFSS facility, I/ we state that Know Your Client details as submitted by me/ us for the trading account with ESSBSL may be considered for the purpose of BSE StAR MF/ MFSS and I/ we further confirm that the details contained in same remain unchanged as on date.

I/ We are willing to abide by the terms and conditions as mentioned in the Circular dated 24, November 2009 & 2, December, 2009 for NSE & BSE respectively and as may be specified by the Exchanges from time to time in this regard.

I/ We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/ We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/ we choose to subscribe/ redeem. I/ We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/ We therefore request you to register me/ us as your client for participating in the MFSS/ BSE StAR MF.

Details of terms & conditions for the Investor/ Client for using New BSE StAR MF/ MFSS facility

1. Pre-requisites for becoming Investor/ Client for the BSE StAR MF/ MFSS facility

The Client is desirous of investing in units of mutual fund schemes through the New BSE StAR MF/ MFSS.

- The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New BSE StAR MF/ MFSS.
- The Client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wish to execute its instruction through the Participant and the Client shall from time to time continue to satisfy itself of such capability of the Participant before executing such transactions through the Participant.
- The Client has approached the Participant with the application for availing the New BSE StAR MF/ MFSS facility.
- The Client has submitted relevant KYC (Know Your Client) details to the Participant.

2. Terms and Conditions

The Client shall be bound by circulars issued by BSE/ NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.

- The Client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the Client to the Participant at the time of registration as a Client for participating in the New BSE StAR MF/MFSS or at any time thereafter.
- The Client shall submit to the Participant a completed application form in the prescribed format for the purpose of placing a subscription order with the Participant.
- The Client has read and understood the risks involved in investing in Mutual Fund Schemes.
- The Client shall be wholly responsible for all his investing decisions and instructions.
- The Client shall ensure continuous compliance with the requirements of BSE, NSEIL, SEBI and AMFI.
- The Client shall pay to the Participant such fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- The Client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- In the event of non-performance of the obligations by the Participant, the Client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or BOISL/ NSEIL or NSCCL.
- In case of any dispute between the Participants and the Investors arising out of the BSE StAR MF Fund/ MFSS facility, BSE and/ or BOISL and NSEIL and/ or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.



Signature of the Client

ELECTRONIC PAYOUT REQUEST

V

To,

EUREKA STOCK & SHARE BROKING SERVICES LIMITED

Dear Sir/Madam,

I/We furnish the details of my Bank Account as given in PART II - TRADING & DEMAT ACCOUNT RELATED DETAILS to enable the transfer of funds payable to me/us against sale of securities/Credit Balances in my account.

Name of Joint Account Holder (if any):

I/We hereby declare that the particulars mentioned above are correct, complete and true and I/we request ESSBSL to transfer the funds against payments due to me into the above mentioned Bank Account until any other instruction is given by me/us. It is also agreed by me/us that the above facility is being provided to me/us by ESSBSL at my/our request and it can be discontinued/withdrawn by ESSBSL at its discretion at any point of time, as and when required without prior notice.

- The transfer of funds to my/our bank account will continue to be governed by the terms and conditions as per my declaration to ESSBSL.
- I/We shall review, upon receipt, all transfer of funds made into the aforesaid bank account. In case fund payment is not received in my/our account on the scheduled date then I/we will notify the same to ESSBSL within two days, failing which it shall be assumed that the funds have been credited to my account and ESSBSL shall not be liable in any manner thereafter for the same.
- If the transaction is delayed or not effected at all for incomplete or incorrect information provided by me/us, I/we would not hold ESSBSL responsible and hereby indemnify ESSBSL from any losses or damages therefrom.
- All charges levied by Bank for the said facility shall be borne by me/us.



Signature of the Client

CONSENT LETTER FOR RECEIVING ALERTS/ TRADING CALLS ON MOBILE/ WHATSAPP/ EMAIL

V

To,

EUREKA STOCK & SHARE BROKING SERVICES LIMITED

Dear Sir/Madam,

I/We hereby give my/our consent to ESSBSL to give me/us Alerts, Trading Calls, Research Reports, News, Live Updates or any other information on my Email ID given earlier for Electronic Communication and also on my registered mobile number.

This shall not be treated as violation of any DND or any other similar rules applicable from time to time. The number may be given to the exchange database also. Further, I/we undertake to ESSBSL and confirm to use my/our own judgment in taking a view and execute trade in the identified security(ies) according to my/our financial strength/capabilities and shall not hold ESSBSL responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of such communication and/or investment advises sent by ESSBSL.

I/We further declare that the above mentioned statement is true and correct.



Signature of the Client



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DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) | ANNEXURE A

V

UCC		BO ID	
Client Name			
Address			

The account details of ESSBSL are as follows :

EXCHANGE	NSDL POOL ACCOUNTS	CDSL POOL ACCOUNTS	MARGIN PLEDGE	MTF - MARGIN PLEDGE	MTF - FUNDED A/C
NSE	IN559396	1205580000000079	10851826	10885110	10854781
BSE	IN609062	1205580000000045 1205580000000051			
MCX	-		10851859	-	-
NCDEX	-		10851867	-	-

Declaration :

Sr.No.	Purpose	Signature of Client *		
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	 Sole/ 1 st Holder Signature	 2 nd Holder Signature	 3 rd Holder Signature
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.	 Sole/ 1 st Holder Signature	 2 nd Holder Signature	 3 rd Holder Signature
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	 Sole/ 1 st Holder Signature	 2 nd Holder Signature	 3 rd Holder Signature
4.	Tendering shares in open offers through Stock Exchange platforms.	 Sole/ 1 st Holder Signature	 2 nd Holder Signature	 3 rd Holder Signature

For Eureka Stock & Share Broking Services Limited

The Participant

✓ Authorised Signatory

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ACKNOWLEDGEMENT FOR THE RECEIPT OF DOCUMENTS

From,

Client Name : _____

UCC : _____

BO ID : _____

To,

EUREKA STOCK & SHARE BROKING SERVICES LIMITED

Dear Sir/Madam,

Ref. : Acknowledgement for the receipt of documents

This is to acknowledge the receipt of a copy of the following documents viz.,

- A copy of Client Registration Form (KYC), duly executed
- A copy of Account Opening Form - Part II
- Rights & Obligations of Stock Brokers, Authorized Persons & Clients (Separately - Part B)
- Risk Disclosure Document (Separately - Part B)
- Guidance Note (Separately - Part B)
- Policies & Procedures
- Most Important Terms & Conditions (MITC)
- (MITC) for Research Analyst (RA) & Investment Adviser (IA)
- Tariff Sheets
- PMLA Declaration
- Literature on Anti-Money Laundering - Combating Financing of Terrorism (Separately - Part B)
- A copy of other Voluntary Documents executed & signed by me as a Client.
- A copy of Application for Demat Account
- Rights & Obligations of Beneficial Owner & Depository Participant (Separately - Part B)

Thanking You,

Yours Faithfully,

Date: _____



Signature of the Client

ACKNOWLEDGEMENT

Received the application from Mr./Ms./M/s. _____
as the sole/ first holder along with _____ and _____ as
the second and third holder respectively for opening of a depository and trading accounts. Your BO ID & UCC will be intimated to you
shortly. Please quote the DP ID & BO ID / UCC allotted to you in all your future correspondence.

✓ Participant Stamp & Signature

✓ Broker's Stamp & Signature

Date : _____



BRANCH DETAILS

www.eurekasec.com

Sr. No.	Branch Name	Branch Head Name/ Concerned Person	Contact Numbers	E-Mail Ids
1	AHMEDABAD	Mr. Palak Gandhi	+91 8200047482	ahmedabad@eurekasec.com
2	ASANSOL	Mr. Gobind Goyal	+91 9434002286/9932595189	gkasansol@gmail.com
3	BENGALURU	Mr. Hemang B. Chhapia	+91 9845012375	hbc1970@gmail.com
4	BENGALURU	Mr. Deepak Motilal Chhabria	080-22866999/080-22862111/7892773550	deepak@axiomfinancial.in
5	BANKURA	Mr. Gopal Kumar Bajoria	+91 9732088173/9434101581	gkumarbajoria@gmail.com
6	BARRACKPORE	Mr. Ambarish Pramanick	+91 9830600118/033-25452830/31	barrackpore@eurekasec.com
7	BHAGALPUR	Mr. Anup Kumar Agarwal	+91 9431214966/0641-2422597	bhagalpur521@yahoo.in
8	BARAKAR	Mr. Sushil Bankeralka	+91 9434023036/7001584900	sushil01b@yahoo.com/sbankeralka221@gmail.com
9	BURDWAN	Mr. S N Mukherjee (Akashbani)	+91 9332128445	sourenbse@yahoo.co.in
10	DEORIA	Mr. Sanjay Kumar Agarwal	+91 9415277635	eureka.deoria@gmail.com
11	DURGAPUR	Mr. Yogesh Kr. Maheshwari	+91 9836000302/9836002121	jayanta@eurekasecurities.com
12	DURGAPUR	Mr. Arup Kr. Mondal	+91 9434470252	arupmdgp@gmail.com
13	DURGAPUR	Mr. Uday Laha	+91 8918045986	udaylaha1971@gmail.com
14	ERODE	Mr. M Kathirvel	+91 9865602346/0424-2222996,4558393,4558392	erode@eurekasec.com
15	GANGTOK	Mr. Dinesh Khator	+91 9434023362/03592204016	dkhator@gmail.com
16	HAZARIBAGH	Mr. Chandra Shekhar Prasad	+91 9431395056/8084155314	prasad6chandra@hotmail.com
17	JAIPUR	Mr. Rakesh Kumar	0141-4029311/12/13/14/15	jaipur@eurekasec.com
18	JAMSHEDPUR	Mr. Suresh Kumar Agarwal	+91 9234399571/9334619383	anshufin4545@gmail.com
19	KATWA	Mr. Partha Sarathi Dey	+91 9732249511/03453796362	partha_eurekakatwa@yahoo.com
20	KHARAGPUR	Mr. Anirban Das	+91 9836000142/9836000880/9732503503	kharagpur@eurekasec.com
21	KOLKATA - BBD BAG	Mr. Krishan Kumar Chandak	+91 9830600108/033-2210499	kishan.chandak@eurekasec.com
22	MUMBAI	Mr. Ashok Taparua	022-22025941/42	mumbai@eurekasec.com
23	PATNA	Mr. Ajay Khemka	+91 9334312583/9835023381/0612-2222381/2200698	gskpatna@yahoo.com
24	PURULIA	Mr. Basant Maroo	+91 9434659932	maroopri@gmail.com
25	RANCHI	Mr. Rohit Agarwal	+91 9334450663/9234050002	rohitag2001@gmail.com
26	RANCHI	Mr. Akhilesh Biyani	+91 9431107104	akhileshbiyani@yahoo.com
27	SILIGURI	Mr. Amit Maheshwari	+91 9434612709	eurekaslg@yahoo.co.in
28	SURAT	Mr. Udaykumar B. Dhadhal	+91 9825118082/6356161166	uday@suruyoday.net
29	SILIGURI	Mr. Amit Maheshwari	+91 9434612709/0353-2503934	eurekaslg@yahoo.co.in
30	SURAT	Mr. Udaykumar B. Dhadhal	+91 9825118082/0261-2461806	ssplsurat@yahoo.co.in

Eureka Stock & Share Broking Services Ltd. is an ISO 9001:2015 Certified Company (Certificate No: IND.20.6217/QM/U).
SEBI Single Registration Number: IN2000169839 INSE-CM, FO, CD, Commodity, WDM; BSE-CM, FO, CD, Commodity;
MSEI-CM, FO, CD, MCX, NCDEX| Registered Member Code: 00684 (NSE), 906 (BSE), 36100 (MSEI), 56480 (MCX),
01288 (NCDEX) NSDL & CDSL Single Registration Number: IN-DP-654-2021.

PMS - Eureka Portfolio Management Services Pvt. Ltd. SEBI Registration Number: INP000005740.

AMFI registered Mutual Fund Distributor | Mutual Fund ARN: 77441.



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**Dedicated Support
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**Multiple Asset Classes
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Custom Solutions For Your Specific Needs

Eureka Stock & Share Broking Services Ltd.
SEBI Single Regn. No.: INZ000169839

Eureka Portfolio Management Services (P) Ltd.
SEBI Regn. No.: INP000005740

Eureka Insurance Broking (P) Ltd.
Direct Broker - Life & General | IRDA License No.: 393

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Eureka Stock & Share Broking Services Limited

SEBI Single Regn. No. INZ000169839

Corporate Office: 1101, Merlin Infinite, DN 51, Salt Lake City, Sector 5, Kolkata 700091

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