



CIN No. - U70109WB1992PLC055782

EUREKA STOCK & SHARE BROKING SERVICES LIMITED

www.eurekasec.com

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

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CEO NAME, TEL & EMAIL RAJESH KUMAR SOMANI, +91 33 6628 0000, rjs@eurekasec.com

SEBI REGISTRATION NUMBERS

NATIONAL STOCK EXCHANGE OF INDIA LIMITED	CAPITAL MARKET SEGMENT	INZ000169839	
NATIONAL STOCK EXCHANGE OF INDIA LIMITED	FUTURES & 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	FUTURES & OPTIONS SEGMENT		
BOMBAY STOCK EXCHANGE LIMITED	CURRENCY DERIVATIVES SEGMENT		
BOMBAY STOCK EXCHANGE LIMITED	COMMODITY SEGMENT		
METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED	CAPITAL MARKET SEGMENT		
METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED	FUTURES & OPTIONS SEGMENT		
METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED	CURRENCY DERIVATIVES SEGMENT		
MULTI COMMODITY EXCHANGE OF INDIA LIMITED	COMMODITY SEGMENT		
NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED	COMMODITY SEGMENT		
NATIONAL SECURITIES DEPOSITORY LIMITED	DEPOSITORY		IN-DP-654-2021
CENTRAL DEPOSITORY SERVICES (I) LIMITED	DEPOSITORY		

ESCALATION MATRIX

Level 1	care@eurekasec.com
Level 2	sb.rao@eurekasec.com
Level 3	debomita@eurekasec.com ; aklesh.sipany@eurekasec.com
Level 4	rjs@eurekasec.com

INVESTOR GRIEVANCE

EUREKA STOCK & SHARE BROKING SERVICES LTD.	grievance@eurekasec.com	033 6628 0000
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 9028
MULTI COMMODITY EXCHANGE OF INDIA LTD	grievance@mcxindia.com	022-6731 8888
NATIONAL COMMODITY & DERIVATIVES EXCHANGE LIMITED	ig@ncdex.com	022-6640 6789
NATIONAL SECURITIES DEPOSITORY LTD	relations@nsdl.co.in	022-2499 4200
CENTRAL DEPOSITORY SERVICES (I) LTD	complaints@cdslindia.com	1800 22 5533

You may also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/1800 26 67575




INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

Type	Documents (Copies of all documents to be Self Attested)
Individual	<ul style="list-style-type: none"> ○ 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)	<ul style="list-style-type: none"> ○ 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 (For NRE Bank A/c) ○ Cheque for DP AMC (as per scheme opted)
Corporate	<ul style="list-style-type: none"> ○ 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	<ul style="list-style-type: none"> ○ 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 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 the 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)

<p>Limited Liability Partnership (LLP)</p>	<ul style="list-style-type: none"> ● 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 Partners ● Bank Proof (Cancelled cheque with pre printed Name of Account Holder, MICR & IFSC Code) ● Notarised Partnership Deed ● Authority letter of firm approved by the 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)
<p>Hindu Undivided Family (HUF)</p>	<ul style="list-style-type: none"> ● 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)
<p>Trusts</p>	<ul style="list-style-type: none"> ● PAN Card of Trust, Trustees & Authorised Signatory ● Address Proof of Trust, 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 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)

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

	<p>Signature of the Client/First or Sole Holder.</p>
	<p>Signature of Nominee/Guardian/Introducer/Second Holder/Third Holder/Witness</p>
	<p>Signature of ESSBSL Authorized Signatory/The Participant (For office use)</p>
<p>M</p>	<p>Mandatory</p>
<p>IND</p>	<p>Individual</p>
<p>NON-IND</p>	<p>Non-Individual</p>
<p>V</p>	<p>Voluntary</p>

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MANDATORY DOCUMENT AS PRESCRIBED BY SEBI, EXCHANGES AND DEPOSITORIES

S. NO.	NAME OF THE DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENT	PG. NO.
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		II Document captures the additional information about the constituent relevant to trading & demat account.	13
2.	APPLICATION FOR DEMAT ACCOUNT	Additional KYC details for opening a Demat account.	16
3.	NOMINATION DETAILS	Nomination form for Demat & Trading account.	18
4.	POLICIES & PROCEDURES	Document detailing significant policies and procedures of the stock broker.	20
5.	TARIFF SHEETS	Document detailing the rate/ amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	22
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7.	RIGHTS & OBLIGATIONS OF STOCK BROKERS, AP & CLIENTS	Document stating the Rights & Obligations of stock broker/ trading member, AP and client for trading on exchanges (including additional rights obligations in case of internet/ wireless technology based trading) in securities & commodity Market.	B-4
8.	RISK DISCLOSURE DOC. (RDD)	Document detailing risks associated with dealing in the securities & commodity market.	B-8
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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)

Name* (Same as PAN) Prefix First Name Middle Name Last Name
 Maiden Name
 Father / Spouse Name*
 Mother Name
 Date of Birth* DD - MM - YYYY
 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 DD MM YYYY
 B - Voter ID Card
 C - Driving Licence Expiry Date DD MM YYYY
 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)

PHOTO*

Affix recent passport size photograph and Sign across it

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 through SMS/ Email on the above registered number/email address.

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	INSTITUTION DETAILS
IPV Date: DD - MM - YYYY	Name: EUREKA STOCK & SHARE BROKING SERVICES LIMITED
Emp. Name: _____	Code: IN0262
Emp. Code: _____	<div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> </div>
Emp. Designation: _____	
Emp. Branch: _____	
<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> [Employee Signature] </div>	

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 of 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 (To be filled by financial institution) Application Type* New Update
 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 Government Body
 Defence Establishment Body of Individuals Society LLP Non-Government Organization

Entity Constitution Type Code* Others (Specify) (Please refer instruction B at Page 8)

Date of Incorporation / Formation* DD - MM - YY YY Date of Commencement of Business DD - MM - YY YY

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 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 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))

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

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. 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) - FAX -
 Mobile - Email ID
 Mobile - Email ID

5. NUMBER OF RELATED PERSONS (Please refer instruction E at Page 8)

6. REMARKS (If any)

7. 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 through SMS/ Email on the above registered number/ email address.

Date -- Place

[Signature / Thumb Impression]

Signature/ Thumb Impression of Authorised Person(s)

8. ATTESTATION/ FOR OFFICE USE ONLY

Documents Received Certified Copies Equivalent e- document

IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

Identity Verification Done IPV Date
 Emp. Name
 Emp. Code
 Emp. Designation
 Emp. Branch

INSTITUTION DETAILS

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

[Employee Signature]

[Institution Stamp]

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

A) Clarification / Guidelines for filing Entity Details section

1. Entity Constitution Type

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

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.

B) Clarification/ Guidelines for filling 'Proof of Identity[Pol]' section

- 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.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- '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.
- KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

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

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

D) Clarification/ Guidelines for filling 'Contact 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.

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

- 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.
- 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.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 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.

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 - YYYY 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 DDMMYYYY
 B - Voter ID Card
 C - Driving Licence Expiry Date DDMMYYYY
 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)

PHOTO*

Affix recent passport size photograph and Sign across it

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 through SMS/ Email on the above registered number/ email address.

[Signature / Thumb Impression]

 **Signature/ Thumb Impression of Applicant**

Date DD - MM - YYYY Place _____

3. 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]

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		

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 - YYYY 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 DDMMYYYY
 B - Voter ID Card
 C - Driving Licence Expiry Date DDMMYYYY
 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 through SMS/ Email on the above registered number/ email address.

[Signature / Thumb Impression]

 **Signature/ Thumb Impression of Applicant**

Date DD - MM - YYYY Place _____

3. 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]



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 of Any Entity other than a Listed Company, please provide details under Section – I (i) and 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)	
Authorised Signatory Name (II)	

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 <small>(Saving/ Current/ Others In case of NRI-NRE/ NRO)</small>			
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	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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

MFU Facility	IBT/ STWT
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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 Yes No*(In case dealing with multiple stock brokers/ authorized person, provide details of all)*

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

M

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 Remisier Employee
 Existing Client Other _____ *(Please Specify)*

Address of the Introducer

Mobile/Phone No. of the Introducer



Signature of the Introducer

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	SUB-STATUS		
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual Director	<input type="checkbox"/> Individual Promoter
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Other <i>(Please Specify)</i>
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Qualified Foreign Investor	
<input type="checkbox"/> Non-Individual	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Trust	<input type="checkbox"/> Bank
	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Margin	<input type="checkbox"/> HUF
		<input type="checkbox"/> FI	<input type="checkbox"/> FII
		<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> CM
		<input type="checkbox"/> Other	<i>(Please Specify)</i>

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	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Demat Debit and Pledge Instruction (DDPI)	<input type="checkbox"/> Yes	<input type="checkbox"/> 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	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
MODE OF RECEIVING STATEMENT OF ACCOUNT (TICK ANY ONE)	I/We wish to opt for BSDA	<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Physical Form	<input type="checkbox"/> 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)	<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form
MODE OF RECEIVING RTA DOCUMENTS	<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form
FOR JOINT ACCOUNTS, COMMUNICATION TO SENT TO	<input type="checkbox"/> First holder	<input type="checkbox"/> All Joint Account Holders

Auto Pledge <input type="checkbox"/> Yes <input type="checkbox"/> No	Saral Account <input type="checkbox"/> Yes <input type="checkbox"/> No	Positive Confirmation <input type="checkbox"/> Yes <input type="checkbox"/> No
--	--	--

MODE OF OPERATION FOR JOINT ACCOUNTS

<input type="checkbox"/> Any One of the Holder or Survivor(s)	<input type="checkbox"/> Jointly
<input type="checkbox"/> As per Resolution (for Non-Individuals only)	<input type="checkbox"/> Other (Please Specify)

GUARDIAN DETAILS (where sole holder is a minor)

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

Sole/ First Holder/ or Guardian (In case of minor) or First Signatory

Name

Signature

Second Holder or Second Signatory

Name

Signature

Third Holder or Third Signatory

Name

Signature

NOTES







- All communication shall be sent at the address of the Sole/ First holder only.
- 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.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - 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.
- 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.
- In case if '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.
- Strike off whichever is not applicable.

NOMINATION DETAILS | ANNEXURE A

M

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

NOMINATION DETAILS

Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s) (Mr./Ms.)				
Share of each Nominee	Equally <input type="checkbox"/> <small>[If not equally, please specify percentage]</small>	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
Relationship With the Applicant (If Any)				
Address of Nominee(s)				
PIN Code				
Mobile/Phone No. of nominee(s)				
Email ID of nominee(s)				
Nominee Identification Details: [Please tick any of the following and provide details of same] <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Savings Bank Account No <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It 	Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It 	Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It 
Details of the ID Proof				
SHOULD BE FILLED ONLY IF NOMINEE IS A MINOR				
Date of Birth {in case of minor nominee(s)}				
Name of Guardian (Mr/Ms) {in case of minor nominee(s)}				
Relationship of Guardian with nominee				
Address of Guardian				
PIN Code				
Mobile/Phone No. of Guardian				
Email ID of Guardian				
Guardian Identification Details: [Please tick any of the following and provide details of same] <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Savings Bank Account No <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		Photograph of the Guardian Please Affix Your Recent Passport Size Photograph And Sign Across It 	Photograph of the Guardian Please Affix Your Recent Passport Size Photograph And Sign Across It 	Photograph of the Guardian Please Affix Your Recent Passport Size Photograph And Sign Across It 
Details of the ID Proof				

DECLARATION FOR OPTING OUT OF NOMINATION | ANNEXURE B

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

Names(s) of holder (s)

Signature (s) of holder (s)

Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./ Ms.)



Second Holder (Mr./ Ms.)



Third Holder (Mr./ Ms.)

**Name, Address & Signature of Witness** (only if the account holder affixes thumb impression, instead of signature)

D D M M Y Y Y Y

Name of the Witness

Address

Signature

OTHER DETAILS (BOTH FOR TRADING & DEMAT ACCOUNT)

IND

Gross Annual Income Details: Income

Range per Annum (Please Tick Any One)

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

Occupation

(Please tick any one)

 Private Sector
 Public Sector
 Govt. Service
 Business
 Agriculturist
 Retired
 Housewife
 Student
 Professional
 Others (Please Specify)

Please Tick, If Applicable :

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

Any Other Information

OTHER DETAILS (BOTH FOR TRADING & DEMAT ACCOUNT)

NON-IND

Income Details Please Specify: Income

Range Per Annum

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

Networth Amount (₹) _____ As on date _____ (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 (PEP)

Nature of Bussiness

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/ (All) Authorized Signatory(ies)

D D M M Y Y Y Y

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 by 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+3 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

M

Segment	Delivery		Square Off		Remarks
	(%)	(Paisa)	(%)	(Paisa)	
Cash					
Future					
Option					
Currency					
Commodity					
SLBM					
<p>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</p>					 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		
✓ Signature of the Authorised Signatory	D D M M Y Y Y Y	Seal/Stamp of the intermediary

DEMAT TARIFF SHEET

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

DESCRIPTION	PLATINUM - LIFE TIME	PLATINUM - AMC	NEW STANDARD - AMC	BSDA - I	BSDA - II
AMC - Individuals & HUF	₹ 2000	₹ 400 P.A.	₹ 600 P.A.	NIL	₹ 100 P.A.
AMC - Non-Individuals	N.A.	₹ 1500 P.A.	₹ 1800 P.A.	N.A.	
Account Administration Charges (for New Accounts Only)	₹ 300				
Debit to CM A/C (Eureka)	₹ 20	₹ 15	₹ 20	₹ 50 FLAT	
Debit to CM A/C (DP Eureka)	₹ 20	₹ 15	₹ 20		
Outside Eureka DP CM	₹ 25 or 0.03% whichever is higher				
Off Market/ Interdepository Charges	₹ 25 or 0.03% whichever is higher				

Pledge Creation	₹ 25 or 0.03% whichever is higher	Margin Pledge	₹ 15 per ISIN
Pledge Closure	₹ 25 or 0.03% whichever is higher	Margin Pledge Closure	₹ 15 per ISIN
Pledge Invocation	₹ 25 or 0.03% whichever is higher	Margin Pledge Invocation	₹ 50 per ISIN

Demat Request	₹ 20 per certificate Minimum ₹ 100 per request		
Demat/ Remat Rejection	₹ 100 per rejection		
Remat Request	₹ 20 per 100 SHARES Minimum ₹ 100 per request		
Additional Booklet	₹ 100 per booklet		
Freeze/ Defreeze	₹ 100 per instance		
Holding/ Transaction Statement Charges	₹ 10 per page or ₹ 100, whichever is higher	₹ 25 FLAT	
CAS Charges	₹ 50 P.A.		
Inter-settlement Charges	₹ 50 per instance		

PLATINUM SCHEME - LIFE TIME/ AMC	APPLICABLE TO TRADING CLIENTS OF EUREKA		
NEW STANDARD SCHEME	NON TRADING CLIENTS OF EUREKA		

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 Two Lakhs at any point of time.
- BSDA - I is applicable to clients having holding value less than ₹ 50000.
- BSDA - II is applicable to clients having holding value between ₹ 50000 & ₹ 200000.

IN CASE YOU ARE ELIGIBLE AND WISH TO OPT FOR BSDA ACCOUNT, PLEASE TICK FOLLOWING BOX CAREFULLY :- **Yes** **No**

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

Tick the appropriate category clearly:
(Not applicable if you have opted for BSDA Account) PLATINUM - LIFE TIME PLATINUM - AMC NEW STANDARD - AMC

Email * _____ **BO ID** _____ **UCC** _____

 _____ **Sole/ 1st Holder Signature**
 _____ **2nd Holder Signature**
 _____ **3rd Holder Signature**

NOTES

- The above schedule is effective from 5th May 2022.
- Cheque/ Demand Draft should be in favour of "Eureka Stock & Share Broking Services Ltd."
- ONE TIME AMC should be paid upfront at the time of Opening or Change of Scheme.
- Clients must ensure that their name, Client/ BO ID and Bill number is written behind every cheque/ DD deposited by them.
- All charges are exclusive of GST. Taxes and other government levies will be charged extra as applicable from time to time.
- Above rates are based on NSDL/ CDSL/ SEBI Charges and may be revised upon revision by NSDL/ CDSL/ SEBI.
- Cheque dishonour charges Rs. 100/- (Min.) or actual plus service tax.**
- All charges mentioned above are to be paid in advance.
- UPI Details/ Banking details / Bar Code are available at any office reception.
- Interest free security deposit of Rs. 5,000/- for all non-individual accounts is required to be maintained.
- Interest for late payment will be charged @ not more than 2%.
- In case of any debit balance in Client's name existing with Company, DP is authorized to refuse to accept any type of instruction relating to transfer of shares from client's account, till the clearance of such dues and the DP services are liable to be discontinued within a period of 30 days from the date of demand. The renewal charges for resuming the services will be Rs. 100/-.
- Franking/ Stamp charges will be applicable extra.
- In case of any upward revision of Transaction charges, 30 days notice will be given by publishing in website/ email/ post which shall be treated as sufficient notice.
- The AMC will be charged on prorata basis from the month of account opening. Subsequently, it will be charged annually in the month of April. (not - applicable to One Time Scheme)
- Except for the month of April, an amount of Rs. 250/- (non adjustable/ non refundable) will be charged for each Scheme change request. The new scheme will be applicable from the following month in which the scheme is changed without adjustment of previous bills.
- Rs. 15/ 20 per instruction towards pool-to-pool charges for Pay-out shares received in Eureka NSDL/ CDSL account will be charged, depending upon the Account type of the client.
- Any service not quoted above will be charged separately.
- Additional Account Maintenance charges for corporate account- Rs.500/- per annum in included in the scheme.
- Same Day DIS for Same Day Pay-In (upto 10.15 A.M at clients own risk & on best efforts basis) Rs.100/- Per Instruction
- Client KYC modification request charges shall be Rs. 100/- per instance & shall be collected upfront.
- Stamp Duty payable as applicable (to be charged to the client on actuals).

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		<input type="checkbox"/> Yes <input type="checkbox"/> 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)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent (Please specify name and number)	Country of Issue
II)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent (Please specify name and number)	Country of Issue
III)	<input type="checkbox"/> TIN or <input type="checkbox"/> 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:
 1. 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**
 2. 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 
------	--

Part IV- Self-Certification:

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

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

Applicant Name:

PART I	A.	Is the account holder a Government body/ International Organization/ listed company on recognized stock exchange: 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.	<input type="checkbox"/> Yes <input type="checkbox"/> No
	B.	Is the account holder a (Entity/ Financial Institution) tax resident of any country other than India : If "Yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.	<input type="checkbox"/> Yes <input type="checkbox"/> No
	C.	Is the account holder an Indian Financial Institution : If "Yes", please provide your Global Intermediary Identification Number (GIIN), if any _____. If "No", proceed to point D.	<input type="checkbox"/> Yes <input type="checkbox"/> No
	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: If "Yes", (then please fill FATCA/ CRS self-certification form). If "No", proceed to sign the declaration.	<input type="checkbox"/> Yes <input type="checkbox"/> No

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		
Signature 1 	Signature 2 	Signature 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)			
<input type="checkbox"/> Tax Identification Number (TIN) <input type="checkbox"/> US GIIN <input type="checkbox"/> Company Identification Number <input type="checkbox"/> Global Entity Identification Number (EIN) <input type="checkbox"/> 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): <input type="checkbox"/> Yes <input type="checkbox"/> No			
If "Yes", please provide your U.S. Taxpayer Identification Number (TIN):			
b. An entity incorporated and taxable outside of India (other than US): <input type="checkbox"/> Yes <input type="checkbox"/> 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)			
<input type="checkbox"/> Active NFFE <input type="checkbox"/> Passive NFFE without any controlling Person <input type="checkbox"/> Passive NFFE with Controlling Person(s): [<input type="checkbox"/> US <input type="checkbox"/> Others] <input type="checkbox"/> 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: <input type="checkbox"/> Yes <input type="checkbox"/> 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
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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 4
Identification Type					
Identification No					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

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

- a. The number shown on this form is the correct taxpayer identification number of the applicant; and
- b. 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
- c. The applicant is an applicant taxable as a tax resident under the laws of country outside India.


2. 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.

3. I/ We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

4. 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.

5. 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.

Signature	Name and Company Seal
	

Date:	Place:
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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

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Risk Category	High <input type="checkbox"/>	Medium <input type="checkbox"/>	Low <input type="checkbox"/>
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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 issue a cheque 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/authorizations 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 agree that funds given towards collaterals/margins in form of Bank Guarantee (BG)/Fixed Deposit Receipts (FDR's) and for availing Margin Trading facility as per SEBI circular may not be periodically settled.
- 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

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 authorization will be binding on the Client.

4. Authorization 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

- 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 draw an account payee cheque/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 authorises 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 tha 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.
- The Client hereby authorizes ESSBSL to transfer shares, lying in ESSBSL's pool account to his account for pay-in purposes for shares purchased by the Client in previous settlements. In case the Client does not want ESSBSL to transfer these shares towards inter settlement from ESSBSL's pool account for pay in purpose, he shall inform ESSBSL in writing 48 hours before pay in date. In case ESSBSL does not receive the same in writing or for a wrong settlement, ESSBSL shall not be responsible for loss, if any.



Signature of the Client

- 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 fine, 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.

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

**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 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).

Sl. no.	Existing Client Name(s)	UCC	BO ID	Relationship With A/c Holder
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/ 1st Holder Signature2nd Holder Signature3rd Holder Signature

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

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			
BSE STAR MF	IN620031	-			
MCX	-	-	10851859	-	-
NCDEX	-	-	10851867	-	-

Declaration :

SrNo	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

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
- 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 (with Stamp)

ACKNOWLEDGEMENT

EUREKA STOCK & SHARE BROKING SERVICES LIMITED

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

BRANCH NAME	BRANCH HEAD NAME /CONCERNED PERSON	CONTACT NUMBERS	E-MAIL IDS
AHMEDABAD	Mr. Palak Gandhi	8200047482	ahmedabad@eurekasec.com
ASANSOL	Mr. Gobind Goyal	9434002286/9932595189	gkasansol@gmail.com
BENGALURU	Mr. Hemang B. Chhopia	9845012375	hbc1970@gmail.com
BENGALURU	Mr. Deepak Motilal Chhabria	9900154009/080-22866999	deepak@axiomfinancial.in
BANKURA	Mr. Gopal Kumar Bajoria	9732088173/9434101581	gkumarbajoria@gmail.com
BARRACKPORE	Mr. Ambarish Pramanick	9830600118/0341-25452830/31	barrackpore@eurekasec.com
BHAGALPUR	Mr. Anup Kumar Agarwal	9431214966/0641-2422597	bhagalpur521@yahoo.in
BARAKAR	Mr. Sushil Bankeraika	9434023036/7001584900	sushil01b@yahoo.com
BURDWAN	Mr. S N Mukherjee (Akashbani)	9332128445	sourenbse@yahoo.co.in
DEORIA	Mr. Sanjay Kumar Agarwal	7703027635/9415277635	eureka.deoria@gmail.com
DURGAPUR	Mr. Yogesh Kr. Maheshwari	9836000302/9836002121	jayanta@eurekasecurities.com
DURGAPUR	Mr. Arup Kr. Mondal/Uday Laha	9434470252/8918045986	arupmdgp@gmail.com/udaylaha1971@gmail.com
ERODE	Mr. K. Balasubramani	9865612346/0424-2222996/4558393	erode@eurekasec.com
GANGTOK	Mr. Dinesh Khator	9434023362/03592-204016/201700	dkhator@gmail.com
HAZARIBAGH	Mr. Chandra Shekhar Prasad	9431395056/8084155314	prasad6chandra@hotmail.com
JAIPUR	Mr. Deepak Kumar Koolwal/ Mr. Rakesh Kumar	0141-4029310/11/12/13/14/15	jaipur@eurekasec.com
JAMSHEDPUR	Mr. Suresh Kumar Agarwal	9234436423/9334619383	anshufin4545@gmail.com
KATWA	Mr. Partha Sarathi Dey	9732249511/03453-258135	partha_eurekakatwa@yahoo.com
KHARAGPUR	Mr. Anirban Das	9836000142/9836000880/03222-242766	kharagpur@eurekasec.com
KOLKATA -BBD BAG	Mr. Krishan Kumar Chandak	9830600108/033-2210499	kishan.chandak@eurekasec.com
MUMBAI	Mr. Ashok Taparia	9320163001/022-22025941/42	ashok.taparia@eurekasec.com
PATNA	Mr. Ajay/Vijay Khemka	9835023381/0612-2222381/2200698	gskpatna@yahoo.com
PURULIA	Mr. Basant Maroo	9434659932	marooprl@gmail.com
RANCHI	Mr. Rohit Agarwal	9334450663/9234050002	rohitag2001@gmail.com
RANCHI	Mr. Akhilesh Biyani	9431107104	akhileshbiyani@yahoo.com
SILIGURI	Mr. Amit Maheshwari	9434612709/0353-2503934	eurekaslg@yahoo.co.in
SURAT	Mr. Udaykumar B. Dhadhal	9825118082/0261-2461806	ssplsurat@yahoo.co.in