

INDEX OF DOCUMENTS

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC & CKYC form - Document captures the basic information about the constituent and an instruction/checklist.	2-14
		B. Document captures the additional information about the constituent relevant to trading account, depository account and an instruction/checklist.	15-16
2.	Policies and Procedures	Document describing significant policies and procedures of the Stock Broker (to be added by the Stock Broker).	17-19
3.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the Stock Broker).	20
MANDATORY DOCUMENTS FOR DEMAT ACCOUNT (IF DP SERVICES AVAILED THROUGH GEPL)			
4.	Account Opening Form	Additional information about the constituent relevant to dp.	21-25
5.	Tariff sheet	Charges payable by client for availing DP services	26
6.	Terms & Condition for receiving SMS alerts	Terms & Condition for receiving alerts on Debits and or Credits in the Demat a/c. of client through SMS from Dp	27-28
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	Power of Attorney	Power to perform certain acts as specified on behalf of principle	29
8.	Running account authorisation & Debit authorisation	This letter is authorisation to maintain fund & securities on running account basis & debit authorisation letter	31
9.	ECN Letter	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	32
10.	Trading authorisation letter	This letter is authorisation to trade on behalf of client	33
11.	NDNC Declaration	This declaration pertains to GEPL not responsible if client gets activated with NDNC registry	33
12.	Common Mobile /Email ID Declaration & No Email/Mobile	Declaration for Common Mobile number / Email ID & no access to Email & Mobile.	34
13.	Option Form for issue of DIS	Option Form for issue of DIS Booklet	37
14.	FATCA / CRS Declaration	FATCA Declaration for where client hold tax residency	39-40
15.	Internet Trading Authorisation Form	Form for Internet & Wireless Technology based trading facility.	43

Name of Stock Broker/Trading Member/Clearing Member: **GEPL CAPITAL PVT. LTD.**

SEBI Registration No. and Date:

(BSE) INB010993934 Dt. 31-12-1997, INF010993934 Dt. 03-07-2000

(NSE) INB230993934 Dt. 02-11-2000, INF230993934 Dt. 08-01-2001 & INE230993934 Dt. 04-10-2011

Regd. & Correspondence office add.: D-21, Dhanraj Mahal, C.S.M.Marg, Colaba, Mumbai - 400 001.

PH - 022-6618 2400 • FAX - 022-2204 3452

Compliance Officer Name, Phone No. & Email Id: **Subhash D Sharma**, 022-66182445 & subhash@geplcapital.com


CEO Name, Phone No. & Email Id: **Vivek I Gupta**, 022-66182477 & corporate@geplcapital.com

For any grievance/dispute please contact **GEPL CAPITAL PVT. LTD.** at the above address or email id complaints@geplcapital.com and Phone no. 022-66182400. In case not satisfied with the response, please contact the concerned exchange(s) at (BSE) is@bseindia.com and Phone no. 022-2272 8097 & (NSE) ignse@nse.co.in and Phone no. 022-26598190

PROPRIETARY TRADE DECLARATION

The directions issued by SEBI vide its circular no. SEBI/MRD/SE/Cir- 42 /2003 dated November 19, 2003, regarding the Disclosure of proprietary trading by broker to client, it has been decided that every broker shall disclose to his client whether he does client based business or proprietary trading as well.

Accordingly, we hereby declare that currently we are doing Client based business and proprietary trading as well. Proprietary trading is been done depending upon the market conditions, the member, its directors or its associates do invest/ trade in capital/derivatives/currency segment. The same may please be noted.

 (1a/31)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee AP/SB			
Employee Code AP/SB			
Designation of the employee			
Date			
Signature			

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

Signature of the Authorised Signatory

Date _____

Seal/Stamp of the stock broker

Verify the following documents while filling up the AOF at RM/Introducer's end.

(All below fields are mandatory)	Specify	Maker	Checker
		RM/BOE Yes/No.	BM Yes/No.
• Application form completed (including client code, Dp, Brokerage etc.)			
• Required Signatures of the Client, Total Signatures			
• Pan Card			
• Address proof (what)			
• Bank proof (what)			
• Entry in FTS/Documents upload/Brokerage approval if any			
• Supporting documents duly signed by the applicant			
• VIP Stamp with name, employee code, date and designation, signature			
• Documentation charges cheque			
• Margin cheque Copy & Deposit slip			
• Other _____ (please specify)			

All above documents are verified by Maker:

Name: _____

Employee code: _____

Signature: _____

Designation: _____

All above documents are verified by Checker:

Name: _____

Employee code: _____

Signature: _____

Designation: _____

Know Your Client (KYC)
 Application Form (For Individuals Only)
 Please fill in ENGLISH and in BLOCK LETTERS with black ink



GEPL CAPITAL PVT. LTD.

First Holder

Application No.:

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender Male Female B. Marital Status Single Married C. Date of Birth / /

3. Nationality Indian Other _____

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card (2a/31)
 Aadhaar, if any: _____

6. Proof of Identity submitted for PAN exempt cases Please tick (✓)
 UID (Aadhaar) Passport Voter ID Driving Licence Others _____ (Please see guideline 'D' overleaf)

PHOTOGRAPH

 Please affix the recent passport size photograph and sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village Pin Code
 State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)
 Mobile (ISD) (STD) Fax (ISD) (STD)
 Email Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village Pin Code
 State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place: _____ Date: _____

SIGNATURE OF APPLICANT

(3a/31)

FOR OFFICE USE ONLY

IPV Done on / /

AMC/Intermediary name OR code
GEPL CAPITAL PVT. LTD. -
POS Code: 1100012600

Originals Verified & Self Attested document copies received

GEPL CAPITAL PVT. LTD.

For GEPL CAPITAL PVT. LTD.

Staff Name
 Designation
 Signature

Director/Authorised Signatory

Date

Staff Name
 Designation

Date

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

Including Promoters/Partners/Karta/Trustee

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

- (*Documents having an expiry date should be valid on the date of submission.)
1. Unique Identification Number (UID) (Aadhaar)/Passport/Voters Identity Card/Ration

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorised signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorised signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorised signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

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

D. Exemptions/clarifications to PAN

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

Know Your Client (KYC)
Application Form (For Individuals Only)
Please fill in ENGLISH and in BLOCK LETTERS with black ink



GEPL CAPITAL PVT. LTD.

Second Holder

Application No.:

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender Male Female B. Marital Status Single Married C. Date of Birth / /

3. Nationality Indian Other _____

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card
Aadhaar, if any: _____ (1b/18)

6. Proof of Identity submitted for PAN exempt cases Please tick (✓)
 UID (Aadhaar) Passport Voter ID Driving Licence Others _____ (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village Pin Code
 State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) _____ Tel. (Res.) (ISD) (STD) _____
Mobile (ISD) (STD) _____ Fax (ISD) (STD) _____
Email Id. _____

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others _____ (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village Pin Code
 State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others _____ (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place: _____ Date: _____

SIGNATURE OF APPLICANT

(2b/18)

FOR OFFICE USE ONLY

IPV Done on / /

AMC/Intermediary name OR code
GEPL CAPITAL PVT. LTD. -
POS Code: 1100012600

Originals Verified & Self Attested document copies received

GEPL CAPITAL PVT. LTD.

For GEPL CAPITAL PVT. LTD.

Staff Name
Designation
Signature

Director/Authorised Signatory

Date

Staff Name
Designation

Date

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

Including Promoters/Partners/Karta/Trustee

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

- (*Documents having an expiry date should be valid on the date of submission.)
1. Unique Identification Number (UID) (Aadhaar)/Passport/Voters Identity Card/Ration

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorised signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorised signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorised signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

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

D. Exemptions/clarifications to PAN

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

Know Your Client (KYC)

Application Form (For Non-Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS with black ink



GEPL CAPITAL PVT. LTD.

Application No.:

A. Identity Details (please see guidelines overleaf)

- 1. Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).
- 2. Date of Incorporation**

 Place of In corporation
- 3. Registration No. (e.g. CIN)**

Date of commencement of business
- 4. Status** Please tick (✓) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust / Charities / NGOs
 FI FII HUF AOP Bank Government Body Non-Government Organisation
 Defence Establishment Body of Individuals Society LLP Others (Please specify) _____
- 5. Permanent Account Number (PAN) (MANDATORY)**

 Please enclose a duly attested copy of your PAN Card

B. Address Details (please see guidelines overleaf)

- 1. Address for Correspondence**

City / Town / Village	Country	Postal Code
State		
- 2. Contact Details**

Tel. (Off.)	(ISD)	(STD)	Tel. (Res.)	(ISD)	(STD)
Mobile	(ISD)	(STD)	Fax	(ISD)	(STD)
Email Id.					
- 3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf). (Please specify) _____
 *Not more than 3 Months old. **Validity/Expiry date of proof of address submitted**
- 4. Registered Address (if different from above)**

City / Town / Village	Country	Postal Code
State		
- 5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf). (Please specify) _____
 *Not more than 3 Months old. **Validity/Expiry date of proof of address submitted**

C. New Other Details (please see guidelines overleaf)

- 1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees & whole time directors**
 (Please use the Annexure to fill in the details)
- a. DIN of whole time directors** (Please use the Annexure to fill in the details)
b. Aadhaar number (UID) of Promoters/Partners/Karta (Please use the Annexure to fill in the details)

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information 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.

**NAME & SIGNATURE(S)
OF AUTHORISED
PERSON(S)**

Place: _____	Date: _____

FOR OFFICE USE ONLY

AMC/Intermediary name OR code
GEPL CAPITAL PVT. LTD. - POS Code: 1100012600
 Originals Verified & Self Attested document copies received

For GEPL CAPITAL PVT. LTD.

Director/Authorised Signatory
 Staff Name _____
 Designation _____ Date _____

Annexure

Details of Promoters / Partners / karta / Trustees and whole time directors forming a part of KYC Application Form for Non-Individuals

Name of Applicant: _____ PAN of the Applicant:

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

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable: Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (RPEP)
 No

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable: Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (RPEP)
 No

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable: Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (RPEP)
 No

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable: Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (RPEP)
 No

Name, Company stamp & Signature of the Authorised Signatory(ies) Date

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

CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL

MANDATORY

First Holder

Important Instructions:

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

For office use only Application Type* New Update
 (To be filled by financial institution) KYC No. _____ (Mandatory for KYC update required)
 Account Type* Normal Simplified (for low risk customers) Small

1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	_____	_____	_____	_____
Maiden Name (If any*)	_____	_____	_____	_____
Father / Spouse Name*	_____	_____	_____	_____
Mother Name*	_____	_____	_____	_____
Date of Birth*	__-__-____			
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code __)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> NRI	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)			
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)			
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X-Not Categorised			

PHOTO

Please affix the recent passport size photograph and sign below it

(4a/31)

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

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence* _____

Tax Identification Number or equivalent (If issued by jurisdiction)* _____

Place / City of Birth* _____ ISO 3166 Country Code of Birth* _____

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

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

A- Passport Number _____ Passport Expiry Date _____

B- Voter ID Card _____

C- PAN Card _____

D- Driving Licence _____ Driving Licence Expiry Date _____

E- UID (Aadhaar) _____

F- NREGA Job Card _____

Z- Others (any document notified by the central government) _____ Identification No. _____

S- Simplified Measures Account - Document Type cod e _____ Identification No. _____

4. PROOF OF ADDRESS (POA)*

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

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar) Voter Identity Card NREGA Job Card

Simplified Measures A/c.-Document Type code _____ Others _____

Address

Line 1* [Grid]

Line 2 [Grid]

Line 3 [Grid]

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

4.2 Correspondence/Local ADDRESS DETAILS* (Please see instruction E at the end)

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

Address

Line 1* [Grid]

Line 2 [Grid]

Line 3 [Grid]

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

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

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

Address

Line 1* [Grid]

Line 2 [Grid]

Line 3 [Grid]

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

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off) [Grid] Tel. (Res) [Grid] Mobile [Grid]

Fax [Grid] Email ID [Grid]

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

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*) [Grid]

Related Person Type* Guardian of Minor Assignee Authorised Representative

Name* Prefix [Grid] First Name [Grid] Middle Name [Grid] Last Name [Grid]

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

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

A-Passport Number [Grid] Passport Expiry Date [Grid]

B-Voter ID Card [Grid]

C- PAN Card [Grid]

D- Driving Licence [Grid] Driving Licence Expiry Date [Grid]

E- UID (Aadhaar) [Grid]

F- NREGA Job Card [Grid]


Z- Others (any document notified by the central government) [Grid] ID No. [Grid]

S- Simplified Measures Account - Document Type code [Grid] ID No. [Grid]

7. REMARKS (If any)

[Grid]

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately.  (5a/31)
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: [Grid] Place: [Grid]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS	
Date:	<input type="text"/>	Name	<input type="text"/>
Emp. Name:	<input type="text"/>	Code	<input type="text"/>
Emp. Code:	<input type="text"/>	[Institution Stamp]	
Emp. Designation:	<input type="text"/>		
Emp. Branch:	<input type="text"/>		
[Employee Signature]			

CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

General Instructions:

- Fields marked with '*' are mandatory fields.
- Tick '✓' wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Either **father's name** or **spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/ services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code Description

- | | |
|----|--|
| 01 | Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions. |
| 02 | Letter issued by a gazetted officer, with a duly attested photograph of the person. |

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

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 | Bank account or Post Office savings bank account statement. |
| 04 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 05 | Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation. |
| 06 | Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India. |

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address detail's section

- To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

F Clarification / Guidelines on 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.

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

- Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [PoI] of Related Person' section

- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

Address

Line 1* [Grid]

Line 2 [Grid]

Line 3 [Grid]

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

4.2 Correspondence/Local ADDRESS DETAILS* (Please see instruction E at the end)

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

Address

Line 1* [Grid]

Line 2 [Grid]

Line 3 [Grid]

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

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

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

Address

Line 1* [Grid]

Line 2 [Grid]

Line 3 [Grid]

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

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off) [Grid] Tel. (Res) [Grid] Mobile [Grid]

Fax [Grid] Email ID [Grid]

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

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*) [Grid]

Related Person Type* Guardian of Minor Assignee Authorised Representative

Name* Prefix [Grid] First Name [Grid] Middle Name [Grid] Last Name [Grid]

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

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

A-Passport Number [Grid] Passport Expiry Date [Grid]

B-Voter ID Card [Grid]

C- PAN Card [Grid]

D- Driving Licence [Grid] Driving Licence Expiry Date [Grid]

E- UID (Aadhaar) [Grid]

F- NREGA Job Card [Grid]


Z- Others (any document notified by the central government) [Grid] ID No. [Grid]

S- Simplified Measures Account - Document Type code [Grid] ID No. [Grid]

7. REMARKS (If any)

[Grid]

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately.  (4b/18)
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: [Grid] Place: [Grid]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS	
Date:	<input type="text"/>	Name	<input type="text"/>
Emp. Name:	<input type="text"/>	Code	<input type="text"/>
Emp. Code:	<input type="text"/>	[Institution Stamp]	
Emp. Designation:	<input type="text"/>		
Emp. Branch:	<input type="text"/>		
[Employee Signature]			

CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

General Instructions:

- Fields marked with '*' are mandatory fields.
- Tick '✓' wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Either **father's name** or **spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/ services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code Description

- | | |
|----|--|
| 01 | Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions. |
| 02 | Letter issued by a gazetted officer, with a duly attested photograph of the person. |

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

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 | Bank account or Post Office savings bank account statement. |
| 04 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 05 | Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation. |
| 06 | Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India. |

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address detail's section

- To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

F Clarification / Guidelines on 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.

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

- Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [PoI] of Related Person' section

- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

TRADING ACCOUNT RELATED DETAILS

BANK ACCOUNT(S) DETAILS

No.	MICR No.	Bank Name, Branch Add. & Tel. No.	A/c Type	Account No.	IFSC Code
1					
2					

Please provide Cancelled Cheque leaf for MICR & IFSC Code

DEPOSITORY ACCOUNT(S) DETAILS

Sr. No.	Depository Participant Name	Beneficiary name	DP ID No.	BO ID	Depository Name
1*					(NsdI/Cdsl)
2					(NsdI/Cdsl)

*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1

TRADING PREFERENCES

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Ex. Segment	Cash	Derivatives	Currency Derivatives	IRF
BSE	<input type="checkbox"/> (6a/31)	<input type="checkbox"/> (6a/31)	<input type="checkbox"/> (6a/31)	<input type="checkbox"/> (6a/26)
NSE	<input type="checkbox"/> (6a/31)	<input type="checkbox"/> (6a/31)	<input type="checkbox"/> (6a/31)	<input type="checkbox"/> (6a/26)

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

D. PAST ACTIONS

- Details 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: _____

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:
Sub-broker's Name: _____
SEBI Registration number (BSE): _____ SEBI Registration number (NSE): _____
Registered office address: _____
Ph: _____ Fax: _____ Website: _____
- Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)
Name of stock broker: _____
Name of sub broker, if any: _____
Client Code: _____ Exchange: _____
Details of disputes/dues pending from/to such stock broker/sub- broker: _____

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): _____ Specify your Email id, if applicable: _____
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): _____
- Number of years of Investment/Trading Experience: _____
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: _____
- Any other information: _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer: _____
 (Surname) (Name) (Middle Name)

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify _____

Address and phone no. of the Introducer: _____

Signature of the Introducer: _____

OTHER DETAILS (For Individuals & Non-Individuals)**1. Gross Annual Income Details (please specify):**

Income Range per annum: Below Rs 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs-1 Crore > 1 Crore

Net-worth as on (date) _____ (_____) (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details): Private Sector Public Sector Government Service

If Salaried, Company Name: _____ Designation: _____

Business (Nature of Business _____) Professional Agriculturist Retired Housewife Student Others (Specify) _____

3. Please tick, if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (RPEP)**4. Any other information:** _____**DECLARATION**

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information 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.
- 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.

Place _____ ( (7a/31))

Date _____ **Signature of Client/ (all) Authorized Signatory (ies)**

INSTRUCTIONS/ CHECK LIST**1. Additional documents in case of trading in derivatives segments - illustrative list:**

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

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

- Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted. (Not more than 4 months old)
- Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

Policies and Procedures for Client Dealings

MANDATORY

a. Refusal of orders for "Penny Stocks"

Although, the term "Penny Stock" has not been defined by BSE / NSE or any other stock exchange or by SEBI, a "Penny Stock" generally refers to a stock which has following characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid

(A list of illiquid securities is jointly released by NSE and BSE from time to time.)

GEPL CAPITAL PVT LTD. recognizes that it is the client's privilege to choose shares in which he / she would like to trade. However, GEPL CAPITAL PVT LTD. likes to pay special attention to dealing in "Penny Stocks". To this end:

- GEPL CAPITAL PVT LTD. may refuse to execute any client's orders in "Penny Stocks" without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny Stock" should be referred to Head - Dealing before such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny Stock" does not result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny Stock" does not operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in "Penny Stocks" at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of GEPL CAPITAL PVT LTD.
- In case of sale of "Penny Stocks", clients should ensure the delivery of shares to GEPL CAPITAL PVT. LTD. before the pay-in date.

b. Setting up client's exposure limit

- Exposure limit for each client is determined by the Risk Management Department based on client's net worth information, client's financial capacity, prevailing market conditions and margin deposited by client in the form of funds / securities with GEPL CAPITAL PVT LTD. These limits may be set exchange-wise, segment-wise, and scrip-wise.
- The limits are determined by Risk Management Department based on the above criteria and the payment history of the client in consultation with Sales / Sales traders.
- GEPL CAPITAL PVT LTD. retains the discretion to set and modify, from time to time, any client's exposure limit decided as above.
- Whenever any client has taken or wants to take exposure in any security, GEPL CAPITAL PVT LTD. may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients will be told to reduce the position immediately or they will be requested to deposit extra margin to meet the shortfall. Otherwise, GEPL CAPITAL PVT. LTD. may refuse to trade on behalf of such client at its own discretion.

c. Applicable brokerage rate

- Brokerage Rate is mutually decided between the GEPL CAPITAL PVT LTD. and each client based on client's net worth, expected trading volume, etc. The maximum brokerage chargeable will not exceed the rates prescribed by SEBI and the exchanges.
- The applicable brokerage rate will be mentioned in the Client registration form and any change in the brokerage rate in future will be communicated to the client as per applicable laws, rules & regulations of Exchange/SEBI.

d. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on the part of the client in satisfying his / her margin obligation or settlement obligation then GEPL CAPITAL PVT. LTD. shall levy delayed payment charges at the rate of 21% p.a. on such shortfall for the period of delay on such client. GEPL CAPITAL PVT. LTD. shall recover such delayed payment charges from the client by debiting the client's account.
- No interest or charges will be paid by GEPL CAPITAL PVT. LTD. to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

e. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues

- GEPL CAPITAL PVT LTD. has the right to close out / liquidate or square off any open position of the client (limited to the extent of settlement / margin obligation), without giving any prior notice, all or any of the client's positions as well as securities / collaterals placed as margins for non-payment of margin or other lawful amounts due from such client in respect of settlement or any other lawful dues that are recoverable from the client by GEPL CAPITAL PVT. LTD. The proceeds of the same shall be adjusted against the client's liabilities / obligations. Any loss or financial charges on account of such close-out / liquidation shall be debited to the client's account.

f. Shortages in obligations arising out of internal netting of trades

Internal shortage Policy

BSE has a window wherein internal short deliveries can get auctioned as per the normal auction process. Internal short deliveries are not covered by the Auction conducted on the NSE. It is due to this limitation on the NSE we follow the procedure as mentioned below:

- The client may not receive shares on T + 2 in case there is an internal shortage situation within GEPL Capital, i.e. the buyer and seller are both GEPL Capital's clients and seller defaults in delivery due to which the buyer may not receive the shares.
- In case there is an internal shortage in BSE, the exchange conducts an auction through which the shares would be purchased and delivered to the buyer. The seller would be debited at the rate at which the exchange would have purchased these shares. Additionally, brokerage statutory costs and other incidental charges including penalty for non-delivery may be debited to the client. In case, the exchange is unable to purchase these shares, the exchange will inform GEPL Capital of a close out rate, at which the buyer would be allowed credit and the seller would be debited for the same amount. In case of any corporate action for internal shortages, if original trade was executed at cum rate, then GEPL Capital will repurchase the shares at ex-rate in its internal shortage a/c. The amount / quantity of corporate action as applicable will be debited to seller's account and will be credited to buyer's account. In case of security being delisted from trading/ unable to buy on account of corporate account, GEPL Capital will close out internal shortage at last traded price/ last traded cum rate price + 10% (credit to buyer and debit to seller)
- In case there is an internal shortage in NSE, GEPL Capital purchases the shares from the normal market and provides the shares to the buyer on receipt of delivery. The defaulting seller would be debited with the rate at which these shares were purchased, including the brokerage statutory charges and other incidental charges including penalty if any. In case of non receipt of delivery to purchase the shares, the buyer would be offered credit at a close out rate applicable on T+4 day + 3% or and the new seller would be debited at the same rate. In case where GEPL Capital is unable to purchase the shares on account of the scrip being in buying circuit, the position would then be closed out on the closing price of the exchange on T+2 at the circuit percentage of 2 days (Maximum up to 20% .) In case of any corporate action for internal shortage if original trade was executed at cum -rate then GEPL capital will repurchase the share at ex rate in its internal shortage account. The amount /quantity of corporate action, as application will be debited to the seller's a/c and will be credited to the Buyers's account. In case of securities being delisted from trading/ unable to buy on account of corporate action, GEPL capital will close out internal shortage at last traded price / last traded cum rate price + 10% (Credit to buyer & Debit to seller)
- GEPL Capital may also levy charges on the defaulting seller for non-delivery of stocks within the stipulated time.

g. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client

GEPL CAPITAL PVT LTD. shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- There is shortfall in the margin deposited by client with GEPL CAPITAL PVT LTD..
- There is insider trading restrictions on the client.
- There are any unforeseen adverse market conditions or any natural calamity affecting the operation of the market.
- There are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- The client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.

- GEPL CAPITAL PVT LTD. has reached its limit in that scrip.
- The client has breached the client-wise limit.
- The client has taken or intends to take new position in a security which is in the banned period.
- Due to abnormal rise or fall in the market, the markets are closed.

h. Temporarily suspending or closing a client's account based on the client's request:

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, further dealing in such client's account will be blocked. Whenever trade has to be resumed in any suspended client account, a request in writing should be made by the client to the management and the management may ask for updated financial information and other details for reactivating such account. After receiving necessary documents, details, etc. and approval from the management, the client account will be reactivated and transaction will be carried out.
- Similarly, any client desirous of closing his / her account permanently is required to inform in writing and the decision in this regard will be taken by the management. After necessary approval from the management, the client code will be deactivated. Only after scrutinizing the compliance requirements and a "no pending queries" confirmation is taken, securities and funds accounts will be settled.

i. Deregistering a Client

GEPL CAPITAL PVT LTD. may, at its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which GEPL CAPITAL PVT. LTD. may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such client's account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare him / her as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of GEPL CAPITAL PVT LTD. or may act as detriment to GEPL CAPITAL PVT. LTD.'s prospects.

J. Inactive Client Account

Client account will be considered as inactive if the client does not execute a single trade during the period of 12 months from the last trade. In such cases, the client has to make a written request for reactivation of his trading account, with recent proofs and any upgradation in the KYC form.

Any outstanding dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication. Policy for return of client assets if there are shares/ credit ledger balance to be added in inactive client account part.

Return of client assets:

When a client is declared as inactive all the securities of the client are transferred to the demat account of the client. The funds belonging to the client shall be returned to the client. If for any reason the funds and securities of the client cannot be transferred to the client's bank account or demat account then the same shall be transferred into a separate account of the organization. The funds and securities shall be held in the separate account until the time the organization hears from the client or their representatives.

I/We have fully understood the above and do hereby sign the same. These policies and procedures may be amended unilaterally by the broker, provided the amendment is informed to me / us as per applicable laws, rules & regulations of Exchange/SEBI. These policies and procedures shall always be read and shall be compulsorily referred to while deciding any dispute or claim between me/us and broker before any regulator or arbitrator or court of law.



(8a/31)

Tarrif Sheet

MANDATORY

Brokerage Slab for Cash Market

Delivery Brokerage	Delivery Minimum	Delivery Normal
Intraday Brokerage	Single Side	Both Side
Minimum		
Normal		

Brokerage Slab for Futures & Options

Futures Brokerage	Single Side	Both Side
Minimum		
Normal		
Options Brokerage	Minimum Brokerage (Rs per lot)	Normal Brokerage (on Premium)
Single Side		
Both Side		

Brokerage Slab for Currency

Currency Brokerage	Single Side	Both Side
Minimum		
Normal		

- Note:**
1. Inter settlement arising out of purchase/ sell transactions effected by constituents will be debited to constitute account.
 2. Please note that the brokerage levied to your trading account shall be the higher of brokerage value as per the existing rate of RS. 20/- per settlement segment, subject to the maximum rates prescribed by the regulator(s) from time to time.
 3. Other charges:
 - a) Securities Transaction tax, SEBI Turnover fees, Transaction charges shall be levied as per the prevailing rates.
 - b) Statutory levies including but not limited to Service Tax, Stamp duty, Education Cess shall be levied as per the prevailing rates,
 - c) The above charges are subject to change by the regulatory authorities or Government agencies.

Particulars	Amount
Duplicate Contract Notes (CN) issued	Rs. 25/- per contract
Bounced Cheque/Stop payment of cheque	as per bank charges


(9a/31)

Client's Signature _____

Place: _____

Date: _____

INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable".

BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper.

Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & updation of the same in CDSL system. In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

CHECK-LIST → (All the documents must be self attested by applicant)

(A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

(B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. PAN card details of minor have to be entered in CDSL system.

In case of death of Guardian of existing Minor account holder:

In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:

- i. Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
- ii. The minor's account shall be frozen under the appropriate reason code till the new guardian has completed all formalities.
- iii. Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
- iv. The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
- v. DP has to provide a copy of Rights and Obligations document to the new guardian and keep an acknowledgement of the same on record.
- vi. The new guardian shall submit a fresh Nomination Form for the minor's account.
- vii. After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
- viii. The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
- ix. POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.

After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects. The DP shall provide a copy of the Rights and Obligations document to the account holder and shall keep an acknowledgement of the same on record. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature.

The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

(C) HUF

The documents to be obtained are:

- a) The PAN details of the HUF entity would have to be entered in the CDSL system.
- b) Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
- c) DPs shall note the following while opening a HUF account:
 - HUF accounts cannot be opened with joint holder(s).
 - HUF accounts cannot appoint a nominee.
 - In the account opening form, the Karta shall sign under the HUF stamp.
 - Account can be opened in the name of - Existing Karta / HUF entity
 - The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF).
 - In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.

Procedure to be adopted in the event of death of Karta is as follows:

- HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta, • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue.

Procedure to be followed in case of partition of HUF:

In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.

Procedure to be followed in case of POA being given for the HUF

The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

(D) NRI

- a) In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
- b) A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws. Change of status from NRI to Resident and vice versa: It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

(E) Foreign Nationals

- a) Documents – same as NRI. • b) If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

(F) **Association of Persons (AOP)**

- a) Object of the association. b) Powers of the Managing Committee. c) Copy of the Bye Laws.

(G) **Proprietary / Partnership Firms**

BO accounts in the name of the Proprietorship Concern or Partnership Firm cannot be opened in CDSL system. KYC application form / KRA details are to be obtained for proprietor / partners and partnership firm. For Partnership firm, Partnership deed is also to be obtained. The pan card details of the partnership firm / proprietor is to be updated in the CDSL system.

BO's Account can have a maximum of three names associated with it: the Sole/ First Account holder, the First Joint holder and the Second Joint holder. One passport-size photograph of each applicant shall be pasted on the form along with their signatures across the photograph and Account Opening Form.

(H) **Foreign Corporate**

A duly signed declaration that the corporate has complied with, and will continue to comply with, FEMA Regulations and other applicable laws.

(I) **Clearing Member (CM)**

- a) If CM is a corporate body: True copy of certificate of registration with SEBI, certified by Managing Director/Company Secretary / notarized.
b) If CM is a not a corporate body: • The CM account (CM Pool / CM Principal / 1 / Early Pay-in) may be opened in the CDSL system:
i)- either in the name of the partnership firm/entity as mentioned on the Certificate of Registration with SEBI, or ii)- in the name of the proprietor or partners (up to three partners). • Photocopy of Certificate of Registration with SEBI, duly notarized.
c) Asset Management Company (AMC) Pool Account: • This account is linked with a stock exchange.
Following document is to be submitted by the AMC for opening the pool account with any DP of CDSL for the purpose of settlement of mutual fund units:
• Letter / circular / instructions issued by the concerned Stock Exchange indicating the CM ID.

(J) **OCBs**

- a) Certified true copy of Board Resolution, certified by Managing Director/Company Secretary for persons authorized by the Board to act as authorized signatory (ies).
b) Names of the authorized signatory (ies), designation, photographs and their specimen signatures, certified by Managing Director/Company Secretary.
c) Memorandum and Articles of Association of the Company.
d) RBI Registration Certificate.
e) Declaration from the OCB that it meets with the guidelines issued by RBI / Ministry of Finance.
f) Certificate from overseas auditors in Form OAC or OAC – 1, as may be applicable.
g) Statement of account from the Bank.

(K) **Society**

Registered Society: The account shall be opened in the name of the society.

Unregistered Society: a) The account shall be opened in the names of the members under "Individual" category (maximum three account holders).

b) All the documents, as applicable for account opening under individual category, shall be obtained.

(L) **Trust**

Public Trust/ Charitable Trust and Trust capable of holding property in its name (Registered Trust /Public Trust):

- a) Account shall be opened in the name of the Trust.
b) Certificate of Registration of Trust under the Societies Registration Act/Public Trust Act,1860 / Bombay Public Trust Act,1950 / Public Trust Act, of relevant State.
c) Certified true copy of Board Resolution to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account.
d) Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee.

Private Trust:

- a) The Board of Trustees shall specify the names of the trustee/s who shall hold/ operate the demat account.
b) The account shall be opened in the names of the trustees under "Individual" category of the first named trustee (maximum three account holders).
Recognized Funds / Trusts/ Other similar entities.

The Funds/ Trusts/ Entities presently included under this category are as follows:

- a) Employees Provident Fund, which have been recognized by the Provident Fund Commissioner under Employee's Provident Funds & Miscellaneous Provisions Act, 1952.
b) Employees Gratuity Fund, which are formed under Payment of Gratuity Act, 1972.
c) Superannuation Fund which are formed under the guidelines issued by Income Tax Department.
d) Venture Capital Funds which are registered by SEBI.
e) ESOP Trust formed pursuant to the guidelines issued by SEBI).

Accounts of the above Funds/ Trusts/ Entities shall be opened in the name of above Funds/ Trusts/ Entities as they are recognized either under the Income Tax Act or Securities & Exchange Board of India Act, etc.

Documents to be furnished by the above Funds/ Trusts/ Entities and other Funds/ Trusts/ Entities, which are similarly placed, are:

- Certificate of Registration, if any, issued by the authority recognizing the Fund / Trust / Entity as such; • Trust Deed and Rules and/or any document or charter defining their constitution and providing for management thereof; • List of Members on the Board of Trustees/Governing Body; • Certified true copy of the Resolution passed by the Board of Trustees/Governing Body to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account; • Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee;

(M) **Banks**

- a) Certified true copy of Board Resolution, or b) Letter on the letterhead of the bank, signed by the Chairman/MD authorizing opening of account and authority given to authorized signatories to open and operate the demat account.

(N) **Mutual Funds**

SEBI Registration Certificate clearly indicating the name of the Mutual Fund.

(O) **Escrow Account**

• KYC form / KRA details of entity that is opening the account (RTA / Clearing Member / Manager to the Issue). • The photographs of the authorized signatory (ies) who would be operating the account. • PAN card of both parties i.e. Corporate entity & Escrow Agent. The PAN details of the Corporate entity would have to be captured in the CDSL system.

Procedure for opening Escrow account.

- The escrow account shall be opened in the name and form of < Issuer name> - <Reason for opening the escrow account>-operated by-<Operator Name> for e.g. Infosys Technologies Ltd. – Buyback Account - Operated by – Karvy Consultants Ltd. • The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained. • The escrow account shall be active for the limited period of the activity for which it has been opened. Such period shall be as specified by SEBI / CDSL or any such regulating authority from time to time. After the specified period is over the account shall be closed by the DP irrespective of whether the closure instruction is received from the account holder or not.

(P) **Limited Liability Partnership Firm**

Demat Account for Limited Liability Partnership Firm [which is registered under the Limited Liability Partnership Act (2008)]

Such an account shall be opened as: <"Company Name" Limited Liability Partnership> or <"Company Name" LLP>. For example, if the company name is "ABC" then the demat account shall be opened in the name of <ABC Limited Liability Partnership> or <ABC LLP>.

The following documents shall be obtained :

- (i) Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008. (ii) Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP. (iii) The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner]/DIN [Directors Identification Number] along with their signatures and photographs. (iv) PAN Card details of the LLP are to be entered in the CDSL system. (v) The bank details in the name of the LLP, as sole / first holder in the bank account. (vi) PAN card of the authorized signatories to be kept on record. (vii) In case of change in registered office address of the LLP, the DP should take on record the notice of change of address filed by the LLP with the Registrar

- Joint holders in the demat account may be allowed. • Nomination in such demat accounts shall not be allowed. • Such demat accounts shall be opened under "Corporate" status in the CDSL system with the sub-status "Limited Liability Partnership".

ANNEXURE - 3
Additional KYC Form for Opening a Demat Account
GEPL CAPITAL PVT. LTD.

(ISO 9001-2008 certified)

DP OPERATIONS: D-21, Dhanraj Mahal, C.S.M. Marg, Colaba, Mumbai - 400 001

DP ID No.: 12012600 SEBI Regn. No.: IN-DP-CDSL-27-99

Tel.: 6618 2400 • Fax: 22043452 • Email: customercare@geplcapital.com

Website: www.geplcapital.com • Toll free no. - 1800-209-4878

(To be filled by the Depository Participant)

Inperson Verification

Signature: _____

Name: _____

Date: _____

Place: _____

Application No.		Date													
DP Internal Reference No.															
DP ID	1	2	0	1	2	6	0	0	Client ID	0	0				

(To be filled by the applicant in **BLOCK LETTERS** in English)

I / We request you to open a demat account in my / our name as per the following details: -

Type of Account	(Please tick whichever is applicable)		
Status	Sub – Status		
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director	<input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual HUF / AOP	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)
	<input type="checkbox"/> Minor	<input type="checkbox"/> Others (specify)	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> NRI-Repatriable Promoter
	<input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign - National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify)

Type of Account	(Please tick whichever is applicable)		
Status			Sub – Status
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund
<input type="checkbox"/> CM	<input type="checkbox"/> FI	<input type="checkbox"/> Clearing House	<input type="checkbox"/> OCB
		<input type="checkbox"/> Other (Specify)	<input type="checkbox"/> FII
Date of Incorporation			
SEBI Registration No. (If Applicable)		SEBI Registration Date	
RBI Registration No. (If Applicable)		RBI Approval Date	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____		

Holders Details			
Sole / First Holder's Name		PAN	
		UID	
Second Holder's Name		PAN	
		UID	
Third Holder's Name		PAN	
		UID	

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

Details of Guardian	(in case the account holder is minor)		
Guardian's Name		PAN	
Relationship with the applicant			

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be `Yes`)	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be `No`)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be `Yes`) [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

Third Joint Holder (1c/14)
 Second Joint Holder (5b/18)
 First/Sole Holder (10a/31)

Third Joint Holder (3c/14)
 Second Joint Holder (7b/18)
 First/Sole Holder (12a/31)

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id		Trading member ID	

Do you wish to receive dividend / interest directly in to your bank account given below through ECS?
 (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time] Yes No

Bank Details (Dividend Bank Details) MICR code starting with 000 will not be eligible for ECS.

Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Cash Credit <input type="checkbox"/> Others (specify)									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN				

- (i) Photocopy of the cheque/cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
 - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

OTHER DETAILS




1. **Gross Annual Income Details (please specify):** Income Range per annum:
 Below Rs 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs -1 Crore > 1 Crore
2. **Net-worth as on** (date) _____ (_____) (Net worth should not be older than 1 year)
3. **Occupation (For Individuals only)** Private / Public Sector Govt. Service Business Professional Agriculture Retired Housewife Student Others (Specify) _____
4. Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) . Please provide details as per Annexure 2.2 A.
5. **Any other information:** _____

SMS Alert Facility	<input type="checkbox"/> Yes MOBILE NO. +91 _____ Refer to Terms & Conditions given as Annexure-2.4 [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> No
---------------------------	---	-----------------------------

Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name/ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)								

easi	<input type="checkbox"/> Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> No
-------------	---	-----------------------------

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	 (11a/31)	 (6b/18)	 (2c/14)

(Signatures should be preferably in black ink). (In case of more authorised signatories, please add annexure)

GEPL CAPITAL PVT. LTD.

(ISO 9001-2008 certified)

DP OPERATIONS: D-21, Dhanraj Mahal, C.S.M. Marg, Colaba, Mumbai - 400 001

DP ID No.: 12012600 SEBI Regn. No.: IN-DP-CDSL-27-99

Tel.: 6618 2400 • Fax: 22043452 • Email: customercare@geplcapital.com

Website: www.geplcapital.com • Toll free no. - 1800-209-4878



CDSL
Your Depository

NOMINATION DETAILS FOR TRADING & DEMAT ACCOUNT

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

I/We do not wish to nominate any one for this demat account.

I/We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my / our death.

Nomination Registration No.	Dated

Nominee details

Full name of the Nominee (As per PAN Card) →			
	First Name	Middle Name	Last Name
Address			
City	State		
Country	PIN		
Telephone No.	Fax No.		
PAN	UID		
E-mail ID			
Relationship with BO (if any)			
Date of Birth (Mandatory if nominee is a minor)			

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. I/We appoint following person to act as **Guardian**:

Full name of Guardian of Nominee: (As per PAN Card) →			
	First Name	Middle Name	Last Name
Address			
City	State		
Country	PIN		
Telephone No.	Fax No.		
E-mail ID			
Relationship of Guardian with Nominee			

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Note: Two witnesses shall attest signature(s) / Thumb impression(s).

Details of the Witness (Other than account holder, nominee and guardian)

	First Witness	Second Witness
Names of Witness		
Address of Witness		
Signature of Witness	<div style="border: 1px solid black; width: 20px; height: 10px; display: inline-block; text-align: center;">W/1</div>	<div style="border: 1px solid black; width: 20px; height: 10px; display: inline-block; text-align: center;">W/2</div>

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	<div style="border: 1px solid black; width: 20px; height: 10px; display: inline-block; text-align: center;">(13a/31)</div>	<div style="border: 1px solid black; width: 20px; height: 10px; display: inline-block; text-align: center;">(8b/18)</div>	<div style="border: 1px solid black; width: 20px; height: 10px; display: inline-block; text-align: center;">(4c/14)</div>

(Signatures should be preferably in black ink).

Third Joint Holder (5c/14)
 Second Joint Holder (9b/18)
 First/Sole Holder (14a/31)

GEPL CAPITAL PVT. LTD.

DP OPERATIONS: D-21, Dhanraj Mahal, C.S.M. Marg, Colaba, Mumbai - 400 001

DP ID No.: 12012600 SEBI Regn. No.: IN-DP-CDSL-27-99

Tel.: 6618 2400 • Fax : 22043452 • Email: customercare@geplcapital.com

Website: www.geplcapital.com • Toll free no. - 1800-209-4878




Tariff Structure for Beneficial Owner

Particulars	Individuals		Corporate	
	Scheme A <input type="checkbox"/>	Free Scheme - Scheme B <input type="checkbox"/>	Scheme C <input type="checkbox"/>	Free Scheme - Scheme D <input type="checkbox"/>
Account Opening	Nil	Nil	Nil	Nil
Account Closing	Nil	Nil	Nil	Nil
Franking Charges	Rs. 500	Rs. 500	Rs. 500	Rs. 500
Non Refundable Upfront Fees	NA	Rs. 1200	NA	Rs. 3500
Annual Maintenance Charge	Rs. 250	Life time Free	Rs. 750	Life time Free
Demat	Rs. 5/- per certificate	Rs. 10/- per certificate	Rs. 5/- per certificate	Rs. 15/- per certificate
Rematerialisation	Rs. 35	Rs. 50	Rs. 35	Rs. 50
Pledge/Unpledge	Rs. 50	Rs. 50	Rs. 50	Rs. 50
On Market Transaction Charges (Sales through GEPL)	Rs. 10/- or 0.02% of the transaction Value (whichever is higher)	Rs. 10/- or 0.02% of the transaction Value (whichever is higher)	Rs. 10/- or 0.02% of the transaction Value (whichever is higher)	Rs. 10/- or 0.02% of the transaction Value (whichever is higher)
On Market Transaction Charges (Sales not through GEPL)	Rs. 20/- or 0.04% of the transaction Value (whichever is higher)	Rs. 40/- or 0.04% of the transaction Value (whichever is higher)	Rs. 20/- or 0.04% of the transaction Value (whichever is higher)	Rs. 40/- or 0.04% of the transaction Value (whichever is higher)
Off Market Transaction Charges (Within GEPL)	Rs. 10/- or 0.02% of the transaction Value (whichever is higher)	Rs. 10/- or 0.02% of the transaction Value (whichever is higher)	Rs. 10/- or 0.02% of the transaction Value (whichever is higher)	Rs. 10/- or 0.02% of the transaction Value (whichever is higher)
Off Market Transaction Charges (Outside GEPL)	Rs. 20/- or 0.04% of the transaction Value (whichever is higher)	Rs. 40/- or 0.04% of the transaction Value (whichever is higher)	Rs. 20/- or 0.04% of the transaction Value (whichever is higher)	Rs. 40/- or 0.04% of the transaction Value (whichever is higher)
Courier Charges (For Demat)	Rs. 75/-	Rs. 75/-	Rs. 75/-	Rs. 75/-

NOTE:

- I / We, wish to avail the scheme _____ offered by GEPL Capital Pvt. Ltd. I / We have understood the plan details as mention above and agree to abide by the same.
- The above tariff is subject to changes made by GEPL Capital from time to time by issuing 30 days prior notice and this will be binding on all.
- Upfront Fees Amount mentioned above is Non Refundable & Non Transferable.
- Same day execution / late instructions will be accepted on "BEST EFFORT BASIS" at the sole risk and responsibility of the depository account holder(s). The DP will not be held responsible for non execution of same day instructions. The DP also reserves its right to charge any additional fee for processing same day execution instructions.
- Service Tax & other levies would be extra as applicable for scheme A and C and not applicable for Scheme B and D.
- Please note that in case we are unable to recover charges, depository services for your account will be "FROZEN". Any request to resume the services will be charged.
- BSDA scheme will be applicable to the qualified client as per SEBI circular no CIR/MRD/DP/22/2012 August 27, 2012.
- Cheque / DD No. _____ in favour of "GEPL CAPITAL PVT. LTD." deposited on ___/___/___ OR Payable at Mumbai with Respect to the above-mentioned subject and consideration, I / We hereby authorize you to debit my / our Trading Account Code _____ maintained with GEPL CAPITAL PVT. LTD. for the debit charges payable to GEPL CAPITAL PVT. LTD. as a Depository Participant for providing depository services. Any such Sum debited to my/our account shall be binding on me /us.
- Cheque bounce charges - Charges will be applied at actual charged by bank.

DP ID	1	2	0	1	2	6	0	0	Client ID	0	0						
-------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--	--

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	 (15a/31)	 (10b/18)	 (6c/14)

(Signatures should be preferably in black ink).

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

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

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

Availability:

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

Receiving Alerts:

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

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

1	2	0	1	2	6	0	0		0	0						
---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder’s Name : _____

Second Holder’s Name : _____

Third Holder’s Name : _____

Mobile Number on which messages are to be sent

+91																
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of: _____

Email Id: _____

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

 (16a/31) _____

 (11b/18) _____

 (7c/14) _____

Signatures Sole / First Holder

Second holder

Third Holder

Place: _____

Date: _____

POWER OF ATTORNEY (Optional)

TO ALL TO WHOM THESE PRESENTS SHALL COME, I / We, the details of whom have been mentioned in the Schedule hereunder send greetings: WHEREAS I / we hold a Beneficial Owner (BO) account, the details of which have been mentioned in the Schedule hereunder (hereinafter referred to as "the BO Account") with Central Depository Services (India) Limited (CDSL) through **Gepl Capital Pvt. Ltd. DP ID - 12600.**

AND WHEREAS I / we are investor engaged in buying and selling of securities through **Gepl Capital Pvt. Ltd.**, having its Corporate Office at **D-21, Dhanraj Mahal, C.S.M. Marg, Colaba, Mumbai - 400 001**, a member of National Stock Exchange of India Limited bearing SEBI registration Nos. INB/F/E 230993934, CM - ID M51146, Bombay Stock Exchange Limited bearing SEBI registration Nos. INB/F 010993934, CM - ID 724.

AND WHEREAS due to exigency and paucity of time, I / we am / are desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my / our behalf for a limited purpose in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I / WE THE BELOWNAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT **Gepl Capital Pvt. Ltd.**, as my / our true and lawful attorney (hereinafter referred to as the "Attorney") for me / us and on my / our behalf and in my / our name and on my / our risk and cost to do, exercise and perform all or any of the following acts, deeds and things:

1. Issue instructions to the Depository Participant to debit securities and / or to transfer securities from the BO Account for the purpose of delivering the same into one or more of the following demat accounts and / or to the clearing house / clearing corporation of any of the stock exchange(s), to meet all margin / settlement / pay-in obligations arising out of transactions executed / done by me / us or on behalf of me / us through the Attorney on any stock exchange(s).
2. To make application and / or to issue instructions for creating / closure of lien and / or pledge on the shares / securities in the BO Account in favour of the Attorney for the purpose of meeting and / or to meet any margin obligation in respect of any transactions executed / done by me / us or on behalf of me / us through the Attorney on any stock exchange(s).

For the purpose of aforesaid acts, deeds and things, it is made clear that the shares / securities which are / may be debited / transferred from the BO Account, by exercising the rights / powers granted hereinabove, be transferred / credit / delivered to the following demat accounts or any other demat accounts as may be maintained by the Attorney the aforesaid purposes or to the clearing house / clearing corporation of the concerned stock exchange(s).

Sr. No.	Name of the Account Holder	Demat A/c. No.	CM ID	DP Name	Purpose
1	GEPL Capital Pvt. Ltd.	1201260000002723	724	GEPL Capital Pvt. Ltd.	BSE PAY IN A/c.
2	GEPL Capital Pvt. Ltd.	1201260000002421	M51146	GEPL Capital Pvt. Ltd.	NSE PAY IN A/c.
3	GEPL Capital Pvt. Ltd.	1201260000011793		GEPL Capital Pvt. Ltd.	Margin A/c.
4	GEPL Capital Pvt. Ltd.	1201260000174141		GEPL Capital Pvt. Ltd.	Currency Margin A/c.


3. To apply on my / our behalf for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer for shares, tendering shares in open offers etc. pursuant to my / our specific instructions.
4. To send consolidated summary of Client's scrip-wise buy and sell positions taken with average rates, margin details, balance information, and any other relevant information to the client by way of SMS / email on a daily basis and at such other periodic intervals, notwithstanding any other document to be disseminated as specified by SEBI from time to time.


I / We, do hereby, instruct the Attorney to return / credit / deliver the shares / securities into the BO Account which may be received by them erroneously or which the Attorney was not entitled to receive / debit / transfer from the BO Account.


I / We, do hereby agree to ratify all lawful acts and things done by the Attorney pursuant to the powers hereinabove contained.

I / We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until the same is revoked / modified by me / us. This Power of Attorney can be revoked or modified at any time by sending intimation for revocation / modification at the Registered Office of the Attorney.

SIGNED AND DELIVERED)
By the withinnamed Beneficial Owner) **BO ID: 12012600** _____

Name [1]. _____)  (17a/31) _____

Name [2]. _____)  (12b/18) _____

Name [3]. _____)  (8c/14) _____

IN THE PRESENCE OF WITNESS)

Name : _____)

Sign : _____)

We accept

For Gepl Capital Pvt. Ltd. (The Attorney Holder)

Director/Authorised Signatory/ies

D-21, Dhanraj Mahal, C.S.M. Marg, Colaba, Mumbai - 400 001.

Place : _____

Date : _____

If HUF, Co-parceners Signature:	
1) _____	_____
2) _____	_____
3) _____	_____
4) _____	_____

Note: In case of HUF account, Karta as well as all major co-parceners must sign this POA.

**THIS PAGE IS INTENTIONALLY
KEPT BLANK**

RUNNING ACCOUNT AUTHORISATION

VOLUNTARY

GEPL CAPITAL PVT. LTD.

D-21, Dhanraj Mahal, C.S.M.Marg, Colaba, Mumbai - 400 001.

Dear Sir,

We are aware that as per the SEBI / Exchange requirements, payout of funds or securities ought to be done within twenty-four hours of the payout. However, in light of my regular trading and non-availability in town at all times, we request you to treat and maintain my / our account as a running account. Consequently, you may retain my / our securities and funds due to us after Exchange payout or release of margin with yourselves until sought by me / us. The transfers will be effected within one working day of my/our request. In accordance with SEBI stipulations, this authorisation.

- 1 Is revocable at any point of time.
- 2 Is subject to the fact that I/ We will receive your 'statement of accounts' showing financial and securities transactions with balances every monthly/quarterly.
- 3 Disputes if any will be intimated to you within seven working days of receipt of statements to me / us.
- 4 In case of outstanding obligation on the settlement date, you may retain the requisite funds/ securities towards such obligation and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the SEBI and exchange from time to time.
- 5 In case of outstanding obligation on settlement date you may retain an amount of up to Rs 10,000/- (net amount across segment and across stock exchanges). Subject to applicable laws, rules, regulations, Circulars of SEBI/Exchange.

I/We further agree and confirm that such periodic settlement of Running Account may not be necessary, either on a monthly or Quarterly basis, if I/we

- are availing margin trading facility as per SEBI circulars.
- have provided funds received towards collaterals/ Margin in the form of bank guarantee (BG) / Fix Deposit Receipt (FDR)

Please note that I/We would like the mandatory settlement of funds and securities (if applicable), as below to be made to me / us on the basis indicated below. (tick against your preference.)

Quarterly

Monthly

However I understand that despite my preference for a quarterly settlement, you may at your discretion make a settlement on monthly basis, in the first quarter of my relationship with you.

Client Signature:  (18a/31) _____

Client Name: _____

Client Code: _____

Date: _____

Note: The authorisation shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.

To,

GEPL CAPITAL PVT LTD.

D-21, Dhanraj Mahal, C.S.M.Marg, Colaba, Mumbai - 400 001.

Sub: Authority to debit the Demat Account operating Charges.

Beneficiary Client Id: _____

Trading Account Code _____

Dear Sir,

This is to inform GEPL CAPITAL PVT LTD. that

- 1. I/we have a beneficiary account with GEPL CAPITAL PVT LTD. with client id as mentioned above.
- 2. Further I/we have a trading account with GEPL CAPITAL PVT LTD. (trading code as mentioned above) for investment and trading purpose.
- 3. I/we find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I hereby authorise you to debit the trading account or my Bank Account (as per Nach Mandate) maintained with GEPL for the debit charges payable to GEPL Ltd as depository participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

Thanking you,

Yours faithfully,  (19a/31)

Signature of Client _____

Name of the client _____

Client Code _____

Date _____

VOLUNTARY

From: _____

Client Code: _____

To,

GEPL CAPITAL PVT. LTD.

D-21, Dhanraj Mahal, CSM Marg,

Colaba, Mumbai - 400 001.

Dear Sir,

Sub: Mandate to all communication in digital format

I/ We hereby agree and consent to accept the contract notes in digital forms for transactions carried on by us/me on BSE and NSE with you as per mandatory and voluntary client registration documents. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
You can also send me/us my margin statement , statement of funds, securities, transaction statement ledger etc. and all communication in digital form.
2. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
3. Discrepancies, if any, should be sent to you on E-mail: ecn@geplcapital.com.
4. Clients can view the digital contract notes using the username & password through the above web-site apart from the contract notes sent to the client through mail.
5. The Digital contract notes will be archived at least for a period of 1 year. If the client intends to view the digital contract notes for a period prior to 1 year client may request for the same in writing.
6. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
7. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
8. Any charges in the terms and conditions shall be intimated from time to time.
9. Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note at the e-mail ID of the client.
10. Digital Contract Notes will also be available at our Web-site www.geplcapital.com
11. Any change in the E-mail ID shall be communicated by us / me through physical letter to you.

This instruction to issue digital contract note is applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____

Yours faithfully,



(20a/31)

(Client Signature)

Client Code : (customer ID)

Declaration:

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

FOR NON-INDIVIDUALS ONLY

VOLUNTARY

From: _____

Client Code: _____

To,

GEPL CAPITAL PVT. LTD.

D-21, Dhanraj Mahal, CSM Marg,
Colaba, Mumbai - 400 001.

Dear Sir,

Sub: Authority to trade on behalf

I hereby authorised Mr. _____, residing at _____, to trade with GEPL Capital Pvt. Ltd. for cash and derivative market in NSE & BSE, in my name and on my behalf and do all or any of the following acts, deeds and things except your obligations under SEBI/Exchange guidelines.

1. To place & confirm on behalf of me any buy /sell orders over the telephone / fax, email or any other convenient mode.
2. To get order confirmation / modification and receive Contract Notes on behalf of me.
3. AND GENERALLY to do all other acts, deeds and things as may be necessary for effectively carrying out the powers hereby given.

I do hereby agree and undertake to ratify and confirm all such acts, deeds and things as may be lawfully done by my said attorney by virtue of the powers hereby given, and I further agree that all such acts, deeds and things as may be lawfully done by my said attorney shall be construed to be the acts, deeds and things as if done by me personally.

Yours faithfully,



(21a/31)

(Client Signature)

NDNC Declaration


I, _____ S/o _____ R/o _____, hereby declare that being client of GEPL Capital Pvt. Ltd., they have provided me SMS facility, daily trade confirmation calls on my mobile no. _____.

I hereby also confirm that my aforesaid contact no. is not included in the NDNC Registry or in future if I would have activated the said contact number in NDNC Registry, GEPL Capital shall continue aforesaid facilities without any disturbance.

I hereby indemnify GEPL Capital Pvt. Ltd. against any legal implications in case of "Do Not Disturb" feature being activated by me

I hereby also undertake that I shall not file a complaint regarding unsolicited calls being received from GEPL Capital Pvt. Ltd at any time.

Place: _____

Signature:  (22a/31) _____

To,

VOLUNTARY

GEPL CAPITAL PVT. LTD.

D-21, Dhanraj Mahal, CSM Marg,
Colaba, Mumbai - 400 001.

Dear Sir,

Subject: Consent Letter for Same Email and Mobile

I am in process of registering with you as a client for my secondary market transactions. In this regard I hereby declare and confirm as follows:

1. I am aware that no cash dealings are allowed in the securities market. I confirm that I shall not deal in cash with any employee/sub-broker/Authorised Person of GEPL. All payments/receipts will be done by way of account payee cheques only.
2. I am aware that there are no assurance or guarantee on returns, and I have not been promised any assured return, fixed rate of return or capital protection etc on investments by any employee /Subbroker/ Authorised Person of GEPL.
3. Mobile number / Email id Declaration

I request you to register the following mobile number and/or email id in my demat and/or trading account(s) to be opened with you.

Mobile No.: _____ **Email ID:** _____

I declare that, above mentioned Mobile No./ Email ID belongs to Self Spouse Dependent children Dependent parents.

Also further request you that the above mentioned Mobile No./ Email ID to be use in the below mentioned accounts, who are my relatives and opened account with you.

Name of the Client	Trading Account	Demat Account	Relationship with client (Tick wherever applicable)	Signature
			<input type="checkbox"/> Self	
			<input type="checkbox"/> Spouse	
			<input type="checkbox"/> Dependent children	
			<input type="checkbox"/> Dependent parents	

In case of any changes in the above mentioned Mobile No./ Email ID, I/We will inform you in writing. This number/email ID can be used for giving any information/alert.

Thanking You.



(23a/31) _____
(Sole/first Holder)



(13b/18) _____
(Second Holder)



(9c/14) _____
(Third Holder)

(in case of demat account having joint holders, all holders need to sign)

To,

VOLUNTARY

GEPL CAPITAL PVT. LTD.

D-21, Dhanraj Mahal, CSM Marg,
Colaba, Mumbai - 400 001.

Dear Sir,

Subject: Declaration – No Email/Mobile

I/We, Mr./Mrs./Ms./M/s. _____ is/ are a Client of GEPL Capital Pvt. Ltd., having Client Code _____, hereby undertake and declare that:

- I/ We do not have access to Mobile and/ or Email ID.
- In future, if I/We will have access to Mobile Number and / or Email ID, I/ We will provide the same to you.
- The said declaration shall be valid and shall apply unless and until I/We communicate in writing about any changes therein to you at your aforesaid address.
- Whatever stated above is true and correct to the best of my/our knowledge and nothing material has been concealed there from.



(24a/31) _____
(Sole/first Holder)



(14b/18) _____
(Second Holder)



(10c/14) _____
(Third Holder)

**INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002
(APPLICABLE TO INDIVIDUAL CLIENTS - FIRST HOLDER)**

CLIENT DETAILS

Experience	Number of years of Investment/Trading Experience <input type="checkbox"/> <input type="checkbox"/> Any other Information
Education	<input type="checkbox"/> Non-Metric <input type="checkbox"/> SSC/HSC <input type="checkbox"/> Graduate <input type="checkbox"/> Lawyer <input type="checkbox"/> Other Specify
Residential Details	<input type="checkbox"/> Owned <input type="checkbox"/> Rented
Source of Income (Fund Details)	Do you intend to invest in stock market with: <input type="checkbox"/> Own Funds <input type="checkbox"/> Borrowed Funds a) Primary Source <input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Others Specify _____ b) Secondary Source <input type="checkbox"/> Royalties <input type="checkbox"/> Rental <input type="checkbox"/> Dividend <input type="checkbox"/> Others Specify _____

DETAILS OF RELATIVES, HAVING ACCOUNT WITH GEPL (use Additional Sheet if more than 1 relatives having GEPL A/c.)

Name	
Relationship	
UCC	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Provisions of Prevention of Money Laundering Act, 2002

Prevention of money Laundering Act 2002 (PMLA) forms the core of legal framework put in place by India to combat money laundering and related crimes. PMLA and rules notified there under came into force from 1st July 2005. Under PMLA, all the entities registered with SEBI are required to furnish information of all the suspicious transactions whether or not made in cash to FIU-IND. Under section 3 of PMLA, projecting proceeds of crime as untainted property is an offence of money laundering liable to be punishment under section 4 of the PMLA.

Money laundering involved disguising financial assets so that they can be used without detection of the illegal activity that produced them. Through money laundering, the launderer transforms the monetary proceeds derived from criminal activity into funds with an apparently legal source.

Financial Intelligence Unit-India (FIU -IND) is the central national agency of India responsible for receiving, processing analyzing and disseminating information of suspect financial transaction. FIU-IND is also responsible for co coordinating and strengthening efforts of national and international intelligence, investigation and enforcement agencies in combating money laundering and related crimes.

Section 2 (1) (g) of PMLA Rules defines suspicious transaction as transaction whether or not made in case which, to a person acting in good faith:

- a) Gives rise to a reasonable ground of suspicious that it may involves the proceeds of crime: or
- b) Appears to be made in circumstances of unusual of unjustified complexity; or
- c) Appears to have no economic rationale or bonafied purpose : or
- d) Gives rise to a reasonable ground of suspicious that it may involve financial of the activities relating to terrorism

Some example of suspicious transaction reported to FIU-IND are as under:

Category	Examples of suspicious transactions
Identity of Clients	• Identification documents were found to be forged
	• Address details given by the account holder were found to be false
	• Doubt over the real beneficiary of the account
Suspicious Background	• Positive match of name and date of births with person on various lists
	• Account of publicly known criminals
Multiple Accounts	• Large number of accounts having a common account holder, introducer or authorized signatory with no rational or bonofide purpose
	• unexpected transfer's between multiple accounts with no rationale
Activity in Accounts	• unexplained activity in dormant accounts
	• unexplained activity in account inconsistent with what would be expected from declared Business

Nature of Transactions	<ul style="list-style-type: none"> • Doubtful sources of funds
	<ul style="list-style-type: none"> • Doubtful overseas fund transfer
	<ul style="list-style-type: none"> • Doubtful foreign remittance to non relatives
	<ul style="list-style-type: none"> • Doubtful cash deposited in a bank account at multiple locations
	<ul style="list-style-type: none"> • Suspicious use of ATM/Credit cards
	<ul style="list-style-type: none"> • Doubtful Foreclosure of loan account in cash
	<ul style="list-style-type: none"> • Suspicious off-market transactions in demat accounts
Value of transactions	<ul style="list-style-type: none"> • Multiple transactions of value just under the reporting threshold amount in an apparent attempt to avoid reporting
	<ul style="list-style-type: none"> • Unexplained large value transaction inconsistent with the clients apparent financial standing

All the clients are therefore requested to make a note of the same and get familiarise with the provisions of the PMLA.

KRA Registration details (For office purpose only)

If client is already registered with KRA please fill in below details:

NDML CVL Others _____ (Please tick (✓) any one)
(Please furnish photocopy of KRA Registration letter)

KRA Registration No.: _____

Date of Registration:

Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
----------------	-----------	----------	-------------	-------------------------------------	--

at the time of account opening

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with GEPL CAPITAL PVT. LTD.

For GEPL CAPITAL PVT. LTD.

Director/Authorised Signatory

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

DP ID	1	2	0	1	2	6	0	0	Client ID	0	0						
Sole/First Holder																	
Second Holder																	
Third Holder																	

To,
GEPL CAPITAL PVT LTD.
 D-21, Dhanraj Mahal, CSM Marg,
 Colaba, Mumbai - 400 001.

Dear Sir / Madam,

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

OPTION 1:




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

OR

OPTION 2:

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	 (25a/31)	 (15b/18)	 (11c/14)

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID	1	2	0	1	2	6	0	0	Client ID	0	0						
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

For GEPL CAPITAL PVT LTD.

(Authorised Signatory)

Date:

VOLUNTARY

Client Code: _____

To,

GEPL CAPITAL PVT. LTD.

D-21, Dhanraj Mahal, C.S.M.Marg,
Colaba, Mumbai - 400 001.

Sub: Letter for not to settle my/our account.

Ref.: Non Settlement of Accounts for the Quarter

Dear Sir,

I/We am/are doing continuous trading and delivery based business in securities with you. I/We am/are aware that Settlement of Accounts is mandatory. However, as per Exchange circulars no. NSE/INSP/24849 dated October 29, 2013 and BSE circular no. 20131029-15 dated October 29, 2013. I/We give my/our consent for not to settle my/our account if the balance is less than 10,000/-.

This undertaking will be valid in all quarter when my/our balance is less than Rs. 10,000/- till my/our revocation in writing subject to the applicable laws, rules, regulation, circular etc . of SEBI/Exchange.

Kindly do the needful.

Regards,

Client Name: _____



Client Signature: (26a/31) _____

Confirmation of Receipt of executed documents

Client Code: _____

Date:

To,

GEPL CAPITAL PVT. LTD.

D-21, Dhanraj Mahal, C.S.M.Marg,
Colaba, Mumbai - 400 001.

Sub: Acknowledgement receipt for the Client Registration Form of BSE and NSE between Client and Broker.

Dear Sir,

I/We hereby confirm the receipt of copy of documents Risk disclosure documents, rights & obligations, guidance notes, policies & procedures, tariff sheet & other voluntary documents.

POA Yes No

Thanking you

Yours truly,

Client Name: _____



Client Signature: (27a/31) _____

FATCA/CRS Declaration For Individuals

Date: _____

DP ID	1	2	0	1	2	6	0	0	Client ID	0	0						
-------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--	--

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

Sr. No.	Details		1st Holder	2nd Holder	3rd Holder
1	Country of	a) Birth			
		b) Citizenship			
		c) Residents for Tax Purposes			
2	US Person	Yes / No			

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 filed , 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:




Sr. No.	Details		1st Holder	2nd Holder	3rd Holder
1	TIN				
	Country of Issue				
2	TIN				
	Country of Issue				
3	TIN				
	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/we certify that :
 - 1. The applicant is (i) an applicant taxable as a US person under the laws of the Unites 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)**
 - 2. The applicant is an applicant 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/We understand that the Bank is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Bank is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions.
- iii) I/We agree to submit a new form with in 30 days if any information or certification on this form becomes incorrect.
- iv) I/We agree that as may be required by domestic regulators/tax authorities the Bank may also be required to report, reportable details to CBDT or close or suspend my account.
- v) 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 trues, correct, and complete including the taxpayer identification number of the applicant.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	 (28a/31)	 (16b/18)	 (12c/14)

(Signatures should be preferably in black ink).

Part IV – Self certification:




To be filled only if –

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

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

Document Proof submitted (Pls tick document being submitted)

- Passport Election ID Card PAN Card Driving License UIDAI Letter NRGEA Job card
- Govt. Issued ID Card

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	 (29a/31)	 (17b/18)	 (13c/14)

(Signatures should be preferably in black ink).

Instruction to Fill Mandate

1. UMRN is auto generated (filled by Office) during mandate creation and is mandatory to be updated during amendment and cancellation of mandate.
2. Date DD/MM/YYYY format.
3. Sponsor Bank IFSC/MICR Code left padded with Zeroes where necessary. (Eg. in case of IFSC code is HDFC0000060)
4. Utility code is filled by the Service provider and must be left blank.
5. Select the type of bank account.
6. Customers Bank account number, left padded with zeroes (For example if the account number is 456697, all the left blank cells have to be filled with zeroes like 000000000000000000456697.
7. Name of Bank and Branch
8. IFSC / MICR code of customer bank.
9. Amount payable or maximum amount per transaction that could be processed in words and figures.
10. Tick on box to select frequency of transaction
11. Service provider generated Reference number.
12. Service provider generated Reference number /scheme/ plan.
13. Email ID and Phone number of Customer.
14. Period for validity of mandate.
15. Name(s) of customer(s) and signature(s).

DECLARATION

I hereby declare that the particulars given on this mandate are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I would not hold GEPL Capital Pvt. Ltd., their representatives, service providers, participating banks & other user institutions responsible. I have read the Terms & Conditions and agree to discharge the responsibility expected of me as a participant/s under the scheme. I authorize use of above mentioned contact details for the purpose of this specific mandate instruction processing. I hereby confirm adherence to terms on this mandate.

Authorisation to Bank: I wish to inform you that I have registered with GEPL Capital Pvt Ltd for ECS / NACH / Direct Debit through their Authorised Service Provider(s) and representative for my/our payment to the above mentioned beneficiary by debit to my/our above mentioned bank account. For this purpose I hereby approve to raise a debit to my/our above mentioned account with your branch. I hereby authorize you to honour all such requests received through to debit my/our account with the amount requested, for due remittance of the proceeds to the beneficiary.

Signature of the Applicant : _____

UMRN Date

Tick (✓) Sponsor Bank Code Utility Code

CREATE MODIFY CANCEL I/We hereby authorize to debit (tick ✓)

Bank a/c number
with Bank IFSC or MICR

an amount of Rupees ₹

FREQUENCY Mthly Qtly H-Yrly Yrly As & when presented DEBIT TYPE Fixed Income Maximum Amount

Reference 1 Phone No.

Reference 2 Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From <input type="text" value="DDMMYYYY"/>	(30a/31)	(18b/18)	(14c/14)
To <input type="text" value="DDMMYYYY"/>	Signature Primary Account Holder	Signature Account Holder	Signature Account Holder
Or <input type="checkbox"/> Until Cancelled	1. Name as in Bank Records	2. Name as in Bank Records	3. Name as in Bank Records

*This is to confirm that the declaration has been carefully read, understood and made by me/us. I am authorizing the user entity/corporate to debit my account.
 *I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the user entity/corporate or the bank where I have authorized the debit.
 I/We hereby declare that the above information is true and correct and that the Mobile number listed above is registered in my/our name(s)and/or is the number that I/We use in the ordinary course. I/We hereby declare that,irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws ,now or subsequent to the date hereof, I/We consent to the Bank communicating to me/us about the transactions carried out in my/our aforesaid account(s).I/We hereby declare that the above information is true and correct and that the Mobile number listed above is registered in my/our name(s)and/or is the number that I/We use in the ordinary course. I/We hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now or subsequent to the date hereof, I/We consent to the Bank communicating to me/us about the transactions carried out in my/our aforesaid account(s).

**THIS PAGE IS INTENTIONALLY
KEPT BLANK**

Internet & Mobile Trading Authorisation Form

(Please fill all the details. Form incomplete in any manner would be rejected. Fields marked* are mandatory)

Terminal Code: _____ Back office Code: _____

CLIENT DETAILS

Name * : _____

Address * : _____

Email ID* : _____

Telephone Number*: _____ Mobile:

PAN Card Number*

DEMAT ACCOUNT DETAILS*

Client ID*: _____

DP ID : _____ DP NAME: _____

TRADING DETAILS (tick what is applicable)

Exchange Required: BSE NSE

Product Required: Bse-Cash Nse-Cash Nse-F&O Nse-Currency Derivative

Trading Platform: NEST Diet NEST Web NEST Mobile

Type of Terminal: Trading Viewing

IBT Rights & Obligations: Securities Trading Using Wireless Internet Technology (i.e. Internet/Mobile Trading) Facility Provided by GEPL Capital to clients (All the Clauses mention in the 'Rights & Obligation' document(s) shall be applicable along with the additional clauses mentioned in the Client Registration Form.)

Terms & Conditions:

I/We confirm having read & understood the above terms and conditions and the contents 'Rights and Obligations' document(s), Risk Disclosure Document, Guidance Note and Policies and Procedures of GEPL Capital Private Limited as also specified on the website <http://www.geplcapital.com>. I/We do hereby agree to be bound by such provisions as outlined in these documents.

GEPL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond GEPL's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any. GEPL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

Client Name : _____ Client Signature : _____ (31a/31)

Date : _____ Place : _____

OFFICE USE ONLY

Date: / / .

Prepared by : _____ Checked by : _____ Authorised by : _____

Name : _____ Name : _____ Name : _____

P.N: "Auto square-off"- Time of all your Intraday trades is: Equity (03:15pm) / Currency (04:45 pm) / Commodity (11:15 pm) respectively

**THIS PAGE IS INTENTIONALLY
KEPT BLANK**