

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

General Instructions:

- 1 Fields marked with “*” are mandatory fields.
- 2 Tick ‘✓’ wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 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.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 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

- 1 **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.
- 2 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

- 1 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 [Pol]’ section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if ‘Z- Others (any document notified by the central government)’ is ticked.
- 3 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

- 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 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

- 1 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.
- 2 In case of multiple correspondence / local addresses, Please fill ‘Annexure A1’

F Clarification / Guidelines on filling ‘Contact details’ section

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

G Clarification / Guidelines on filling ‘Related Person details’ section

- 1 Provide KYC number of related person if available.

H Clarification / Guidelines on filling ‘Related Person details - Proof of Identity [Pol] of Related Person’ section

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

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, 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.

2. 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)
3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

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

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: _____

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:

KRA Fetch KRA Entry

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. CKYC form - Document captures the basic information about the constituent and an instruction/checklist.	3-6
		B. Document captures the additional information about the constituent relevant to trading account, depository account and an instruction/checklist.	7-8
2.	Rights and Obligations (Trading & DP), Risk Disclosure Document (RDD), Guidance Note & Policies and Procedures		Part B
3.	Nomination Form	Form that allows persons entitlement to receive security balances lying in account, in the event of death of holder(s)	9-10
4.	Tariff sheet	Charges payable by client for availing DP services	11
5.	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).	12
6.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	13-15
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	Power of Attorney	Power to perform certain acts as specified on behalf of principle	17
8.	Running account authorisation & Debit authorisation	This letter is authorisation to maintain fund & securities on running account basis & debit authorisation letter	19
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.	20
10.	FATCA / CRS Declaration	FATCA Declaration for where client hold tax residency	21-22
11.	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	22

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

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					

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)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	PHOTO
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
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 <input type="text"/>)			
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				
	(1a/16) Signature/Thumb impression				

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)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)*	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification No.	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification No.	<input type="text"/>

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*

Line 2

Line 3

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

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

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

Line 1*																				
Line 2																				
Line 3																				
District*																				
	PIN/Post Code*							State /U. T. Code*					ISO 3166 Country Code*							

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

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

Line 1*																				
Line 2																				
Line 3																				
State*																				
	ZIP/Post Code*							ISO 3166 Country Code*												

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

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

6. DETAILS OF RELATED PERSON (please refer instruction G at the end)

<input type="checkbox"/> Addition of Related Person	<input type="checkbox"/> Deletion of Related Person	KYC Number of Related Person (if available*)																		
Related Person Type*		<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorised Representative																
Prefix	First Name	Middle Name	Last Name																	
Name*																				

(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)

<input type="checkbox"/> A-Passport Number																				
Passport Expiry Date																				
<input type="checkbox"/> B-Voter ID Card																				
<input type="checkbox"/> C- PAN Card																				
<input type="checkbox"/> D- Driving Licence																				
Driving Licence Expiry Date																				
<input type="checkbox"/> E- UID (Aadhaar)																				
<input type="checkbox"/> F- NREGA Job Card																				
<input type="checkbox"/> Z- Others (any document notified by the central government)					ID No.															
<input type="checkbox"/> S- Simplified Measures Account - Document Type code			ID No.																	

7. REMARKS (If any)

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8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.  (2a/16)

Date: DD-DD-YYYY Place:  Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received <input type="checkbox"/> Certified Copies <input type="checkbox"/> In Person Verification																					
KYC VERIFICATION CARRIED OUT BY										INSTITUTION DETAILS											
Date:										Name											
Emp. Name:											Code										
Emp. Code:						Emp. Branch:						[Institution Stamp]									
Emp. Designation:																					
[Employee Signature]																					

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

MANDATORY

SECOND 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)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	PHOTO
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
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 <input type="text"/>)		
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				
	(1b/8) <input type="text"/>				

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)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)*	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification No.	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification No.	<input type="text"/>

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*

Line 2

Line 3

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

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

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

Line 1*	
Line 2	
Line 3	
District*	PIN/Post Code* State /U. T. Code* ISO 3166 Country Code*

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

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

Line 1*	
Line 2	
Line 3	
State*	ZIP/Post Code* ISO 3166 Country Code*

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

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

6. DETAILS OF RELATED PERSON (please refer instruction G at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)
 Related Person Type* Guardian of Minor Assignee Authorised Representative

Prefix	First Name	Middle Name	Last Name
Name*			

(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 B-Voter ID Card C- PAN Card
 D- Driving Licence E- UID (Aadhaar) F- NREGA Job Card
 Z- Others (any document notified by the central government) ID No.
 S- Simplified Measures Account - Document Type code ID No.

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

Date: DD-DD-YYYY Place: Signature / Thumb Impression of Applicant (2b/8)

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies In Person Verification

KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS	
Date:		Name	
Emp. Name:		Code	
Emp. Code:	Emp. Branch:	[Institution Stamp]	
Emp. Designation:			
[Employee Signature]			

ACCOUNT OPENING FORM FOR TRADING & DEPOSITORY

Code: _____

Client Code (to be filled by Dp)

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

I/We request you to open a Trading & Demat Account Trading Account (Please fill all the details in CAPITAL LETTERS only)

A. 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)	

B. Details of Account Holders

First Holder

PAN UID

Second Holder

PAN UID

Third Holder

PAN UID

C. Standing Instructions

Sr. No.	Authorisations	Please ✓ relevant
1.	Consent to receive standard account opening documents in electronic form	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Consent to receive credits automatically into my/our Account (if not ticked, the default option would be ‘Yes’)	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Account to be operated through power of attorney (POA)	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Consent to send Electronic Transaction cum Holding Statement at Sole/First Holder’s email id stated in the KYC	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Consent to share the email id with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	Consent to avail of the facility of internet trading/wireless technology	<input type="checkbox"/> Yes <input type="checkbox"/> No
7.	Mode of receiving Annual Reports & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account)	
8.	Mode of receiving Contract Notes & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account)	
9.	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	
10.	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
11.	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

D. Bank Account Details - Dividend Bank Detail

Default Bank (through which payout transactions would generally be routed)	Additional Bank
Name & Address: _____	Name & Address: _____
Account No. <input style="width: 100%;" type="text"/>	Account No. <input style="width: 100%;" type="text"/>
Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____	Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____
MICR Code <input style="width: 100%;" type="text"/>	MICR Code <input style="width: 100%;" type="text"/>
IFSC Code <input style="width: 100%;" type="text"/>	IFSC Code <input style="width: 100%;" type="text"/>

E. Depository Account Details

Depository: NSDL CDSL DP Name: _____

Beneficiary Name: _____ DP ID: BO ID:

F. Investment/Trading Experience & Preference

No Prior Investment Experience Years in Equities Years in Derivatives Years in other Investment Related Fields

G. Stock Exchanges on which you wish to trade

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

Ex. Segment	BSE & NSE
Cash (3a/16)	<input checked="" type="checkbox"/>
Derivatives (4a/16)	<input checked="" type="checkbox"/>
Currency IRF (5a/16)	<input type="checkbox"/>

- If in future, if you need to trade in any new segment/new exchange, separate authorization/letter will be required.
- In case of trading in Derivatives it is compulsory to submit proof of Financial Details

H. 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: _____

	First Holder
Gross Income Range per Annum (Rs. in Lakhs)	<input type="checkbox"/> < 1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr
Networth: (should not be older than 1 year)	Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Sources of Wealth/Income	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____
Details in case of Employed/Business/Professional (Name of Employer/Establishment & Address & Nature of Business)	Name & Add.: _____ _____ _____ Nature: _____
Additional Details, if applicable. (Please tick one or more as applicable)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP/Related to PEP
Any other information	

<p>Mobile Number Declaration (Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)</p>	<p>I hereby declare that the Mobile number as per KRA KYC belongs to</p> <input type="checkbox"/> Self or <input type="checkbox"/> Family (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents PAN _____ Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No
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Note: This declaration is available on website: www.geplcapital.com

<p>Email ID Declaration (Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)</p>	<p>I hereby declare that the Email ID as per KRA KYC belongs to</p> <input type="checkbox"/> Self or <input type="checkbox"/> Family (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents PAN _____
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Note: This declaration is available on website: www.geplcapital.com

<p>Whether you wish to avail of the facilities of Mobile Trades/Wireless/Technology (Please specify)</p> <input type="checkbox"/> Yes <input type="checkbox"/> No

Note: Refer terms & conditions on website: www.geplcapital.com

Education: _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us though I / we have issued a POA

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) for the time being

GEPL CAPITAL PVT. LTD.

(ISO 9001-2008 certified)

NOMINATION DETAILS FOR TRADING & DEMAT ACCOUNTS



**CDSL
Your Depository**

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 persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Registration No.	Dated

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

Nominee details

Nominee Name:	Nominee 1	Nominee 2	Nominee 3
*First Name			
Middle Name			
*Last Name			
*Address			
*City			
*State			
*Pin			
*Country			
Telephone No.			
Fax No.			
PAN			
UID			
E-mail ID			
*Relationship with BO (if any)			
Date of Birth (Mandatory if nominee is a minor)			
Name of Guardian of Nomine (if Nominee is a minor)			
*First Name			
Middle Name			
*Last Name			
*Address of the guardian of nominee			
*City			
*State			
*Country			
*Pin			
Age			
Telephone No.			
Fax No.			
E-mail ID			
*Relationship of the Guardian with the Nominee			
*Percentage of allocation of securities			
*Residual Securities (Please tick any one nominee, if tick not marked the default will be first nominee)			

Note: Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.




* Marked is Mandatory field

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.
Details of the Witness (Other than account holder, nominee and guardian)

Names of Witness	
Address of Witness	
Signature of Witness	

(To be filled by DP)

Nomination Form accepted and registered wide Registration No. _____ dated _____.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	 (6a/16)	 (3b/8)	 (1c/6)

(Signatures should be preferably in blue ink). Note: One witness shall attest signature(s) / Thumb impression(s).

I. 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: _____

J. ADDITIONAL DETAILS

- Whether Employee/Agent/Approved user/Authorised Person/Sub Broker of any other *Trading/Clearing Member (*Member in equity or commodity Exchange/s) Yes No Name of Member _____ (Please provide consent letter from such Trading/Clearing Member)
- Whether Broker of any Exchange Yes No Name of Exchange/s _____ (Please provide consent letter from such Exchange/s)
- Whether Declared Defaulter/debarred/suspended by SEBI/FMC/RBI/Any other recognized Stock Exchange/Commodity Exchange Yes No

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 policy and procedures, terms & conditions governing Stock Broker Disclosure Documents & Do's & Dont's for trading on the Exchanges, Rights Obligations applicable for Stock Brokers, Sub-Brokers and Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants. I am further aware that a copy of terms & conditions governing Stock Broker, Risk Disclosure Document, Do's and Dont's for trading on the Exchanges & Right & Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights & Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email id provided me/us in the Kyc Document.
- I/We have read and agree to be bound by the Rules, Regulations, Bye-Laws, circulars & guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository & Depository Participant pertaining to my trading & demat account, as are in force from time to time.
- I/We understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants & I/We shall seek advice from professional tax advisor for any tax question. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory Authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my account.
- I/We confirm having read & understood the guidelines pertaining to BSDA & is eligible to open a depository account as a BSDA holder. I/We will comply with the said guidelines & that in case my/our Demat Account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts (applicable only if consented for BSDA facility).
- I, the holder of Aadhar number as mentioned in the KYC, hereby agree & give my consent to GEPL. To obtain my Aadhar Number, Name and finger print/Iris for authentication with UIDAI. GEPL has informed me that my identity information would only be used for Account Opening purpose & also inform that me Biometrics will not be stored/shared & will be submitted to CIDR only for the purpose of authentication.

Place: _____ Date: _____

Signature	 (7a/16)	 (4b/8)	 (2c/6)
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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

Tariff Structure for Beneficial Owner

Particulars	Individuals	
	Scheme A <input type="checkbox"/>	Free Scheme - Scheme B <input type="checkbox"/>
Account Opening	Nil	Nil
Account Closing	Nil	Nil
Franking Charges	Rs. 500	Rs. 500
Non Refundable Upfront Fees	NA	Rs. 1200
Annual Maintenance Charge	Rs. 250	Life time Free
Demat	Rs. 5/- per certificate	Rs. 10/- per certificate
Rematerialisation	Rs. 35	Rs. 50
Pledge/Unpledge	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)
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)
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)
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)
Courier Charges (For Demat)	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.
- GST would be extra as applicable.
- 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	 (8a/16)				 (5b/8)				 (3c/6)							

(Signatures should be preferably in black ink).

Tarrif Sheet

Brokerage Slab for Cash Market

MANDATORY

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	Courier & handling Charges
Bounced Cheque/Stop payment of cheque	as per bank charges	will be Rs. 100/-

Signature	 (9a/16)
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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.

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.



(10a/16)

Transactions Using Secured Texting Facility (TRUST).
Refer to Terms and Conditions Annexure – 2.6

I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.

Yes
 No

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

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

easi

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.

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.

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.

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

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 / buy back of securities / 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.

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]. _____)  (11a/16)

Name [2]. _____)  (6b/8)

Name [3]. _____)  (4c/6)

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 : _____

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

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

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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

Non settlement of Account for the Quarter

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, 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 recovation in writing subject to the applicable laws, rules, regulation, circular etc. of SEBI/Exchange.


Authority to debit the Demat Account operating Charges.

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 below) 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.

Signature of Client  (12a/16) _____

Client Code _____

BO ID _____

Name of the client _____

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,



(13a/16)

(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.

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 CDBT 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.

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 NREGA Job card
 Govt. Issued ID Card

	First/Sole Holder or Guardian (In case of Minor)	Second Holder	Third Holder
Name			
Signature	 (14a/16)	 (7b/8)	 (5c/6)

(Signatures should be preferably in black ink).

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

Date:

SMS Subscription Form

Client Name: _____ Client Code: _____

Email ID: _____ Mobile No.: _____

Kindly activate SMS service on my mobile number mentioned below. I hereby agree to the terms and conditions of the services as may be specified by GEPL from time to time.

I/we are aware that by submitting the above mentioned details. I/We am/are authorizing GEPL Capital & its sub brokers & Authorized person to call me/us and to send promotional communication even though I/we may be register under DNC.


We will not hold GEPL liable for any further consequences arising out of it.

The Charges for the SMS service is as follows:

SMS Type	Monthly Plan ()	Yearly Plan ()
Market updates & other service SMS	Rs. 200/-	Rs. 2000/-

Terms & Conditions:

- The SMS charges would be debited to ledger account at the beginning of the period
- GST would be levied as per the applicable rate
- Once the scheme/plan chosen. It is restricted to the applicable terms.
- The services will be renewed automatically after paying subscription charges or client unsubscribe to the services
- No refund of charges, if client unsubscribe the scheme


Client Signature (15a/16) _____

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 0000000000000000000456697.
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

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"/>	 (16a/16)	 (8b/8)	 (6c/6)
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).

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Confirmation of Receipt of executed documents

Date:

Name:

Client Code: _____

BO DP No.:

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/NSE/Depository between Client and Broker.


Dear Sir,

I would like to receive following documents through Physical Electronic

1. Copy of Risk Management Policy
2. Copy of Know your Clients Form (KYC)
3. Risk Disclosure Documents (RDD)
4. Running Account Letter
5. Policies & Procedures
6. Guidance Note & Do's & Dont's
7. Rights & Obligations
8. Tariff Sheet
9. POA
10. All mandatory and voluntary client registration documents

Thanking you

Yours truly,

Client Signature:  _____

To,

GEPL CAPITAL PVT. LTD.

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

Date:

Acknowledgement Slip

Received Application No.: _____ from the following holder/s for opening a Trading & Depository account.

Name of 1st Holder _____




Name of 2nd Holder _____

Name of 3rd Holder _____

Received Cheque No. _____ Amount _____ Bank Name _____

Executive Name _____ Company Seal & Sign

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NFM II Platform		Investor Form NSE	
ARN-27210 / GEPL CAPITAL PVT. LTD.			
UnitHolder Information			
Name of the First Applicant:			
PAN/Exempt No.:	Date of Birth:	Tax Status*:	
Father Name:		Mother Name:	
Name of Guardian :	Date of Birth:	PAN/Exempt No.:	
Contact Address :			
City:	Pincode:	State:	Country:
Tel.(Off):	Tel.(Res):	Email:	
Fax.(Off):	Fax.(Res):	Mobile:	
Mode of Holding:	DP ID:	Occupation:	
Name of Second Applicant:		PAN/Exempt No.:	
Second Applicant Email:		Second Applicant Mobile:	
Second Applicant Date of Birth:			
Name of Third Applicant:		PAN/Exempt No.:	
Third Applicant Email:		Third Applicant Mobile:	
Third Applicant Date of Birth :			
Other Details			
Overseas Address			
(If investor is NRI) :			
City:	Pincode:	Country:	
Bank Mandate Details			
Name of Bank:		Branch:	
A/c No.:	A/c Type:	IFSC Code:	
Bank Address:			
City:	Pincode:	Country:	
Nomination Details			
Nominee Name 1:	Date of Birth:	Relationship:	Percentage:
Guardian Name (If nominee 1 is minor) :		Guardian PAN:	
Nominee Address:			
City:	Pincode:	State:	
Nominee Name 2:	Date of Birth:	Relationship:	Percentage:
Guardian Name (If nominee 2 is minor) :		Guardian PAN:	
Nominee Name 3:	Date of Birth:	Relationship:	Percentage:
Guardian Name (If nominee 3 is minor) :		Guardian PAN:	
Declaration and Signature			
<p>I/We confirm that the information provided by me/us is true and correct. I/We acknowledge that the responsibility of the information provided in the registration form solely rests with me/us and that NSE / NSCCL will not be responsible or liable for any loss, claim, liability that may arise on account of any incorrect and/or erroneous data/information provided by me/us. I/We hereby confirm that I/we will comply with the terms and conditions for Know Your Customer (KYC). I am aware that system generated User ID and password will be sent on the registered mail id. All correspondence/communication in respect of the transactions including the payment link for online fund transfer will be sent to the registered email address and SMS alerts will be sent to the registered mobile number provided at the time of registration on NMF II. I/we also hereby confirm that the email id and the mobile no. provided at the time of registration by the distributor in the NMF II is pertaining to me/us and all communication/correspondence/transactions related alerts shall be sent to same email id/mobile no. I/We confirm that for existing investments, I/we had gone through, understood the contents of the Scheme Information Document and Key Information Memorandum, addenda issued from time to time regarding each Mutual Fund Scheme, in which I/We had chosen to subscribe / redeem. I/We will also ensure that I/we shall go through, understand the contents of the Scheme Information Document and Key Information Memorandum, issued from time to time regarding each Mutual Fund Scheme, in which I/We will choose to subscribe to / redeem.</p> <p>I/We hereby authorize NSE to collect the following data/ information pertaining to my / our mutual fund investments from all Asset Management Companies (AMCs) and their respective Registrar and Transfer Agents with whom I/We transact:</p> <ol style="list-style-type: none"> Distributor wise transaction data for historical, present and future transactions carried out through various transaction platforms including transaction request submitted at any point of acceptance of the AMCs subject to the condition that the Distributor is registered with NSE NMF II platform. Scheme wise consolidated unit balance available in my account(s) as and when required. 			
Date:		Place:	
Signature 1st Applicant	Signature 2nd Applicant	Signature 3rd Applicant	
			

***Documents Required:**

- Trust : Trust Deed and Authorised Signatory List
- Partnership Firm : Partnership Deed and Authorised Signatory List.
- Societies : Bye-Laws and Authorised Signatory List
- FII & LLP : Overseas Auditors Certificate, Authorised Signatory List , Board Resolution/Authorisation to Invest
- Corporate : Board Resolution and Authorised signatory List
- Minor : Proof of Date of Birth




For all investors, a Cancelled cheque should also be mandatorily submitted as proof of bank account.

Individual Investor – Additional KYC and FATCA compliance mandatory for IIN activation.

Corporate / HUF Investor – Additional KYC, FATCA and UBO compliance mandatory for IIN activation.

Note: For Corporate and HUF investors all forms have to be submitted in physical post making necessary submissions on NMF II platform. Once the submissions are made on the platform printed version of forms will be generated from NMF platform.

This Investor form was generated through NMF II platform.

BSE Star MF			
Broker/Agent Code ARN: 27210		Sub-Broker:	EUIN:
UnitHolder Information			
Name of the First Applicant:			
PAN No.:	KYC:	Date of Birth:	
Father Name:		Mother Name:	
Name of Guardian :		PAN No.:	
Contact Address :			
City:	Pincode:	State:	Country:
Tel.(Off):	Tel.(Res):	Email:	
Fax.(Off):	Fax.(Res):	Mobile:	
Income Tax Slab/Networth:		Occupation Details:	
Place of Birth:	Country of Tax Residence:		
Tax Id No.:			
Politically exposed person / Related to Politically exposed person etc.?			Yes
Mode of Holding:			Occupation:
Name of Second Applicant:			
PAN No.:	KYC:	Date of Birth:	
Income Tax Slab/Networth:		Occupation Details:	
Place of Birth:	Country of Tax Residence:		
Tax Id No.:			
Politically exposed person / Related to Politically exposed person etc.?			Yes
Name of Third Applicant:		PAN/Exempt No.:	
PAN No.:	KYC:	Date of Birth:	
Income Tax Slab/Networth:		Occupation Details:	
Place of Birth:	Country of Tax Residence:		
Tax Id No.:			
Politically exposed person / Related to Politically exposed person etc.?			Yes
Other Details of Sole / 1st Applicant			
Overseas Address			
(If investor is NRI) :			
City:	Pincode:	Country:	
Bank Mandate Details			
Name of Bank:		Branch:	
A/c No.:	A/c Type:	IFSC Code:	
Bank Address:			
City:	Pincode:	State:	Country:
Nomination Details			
Nominee Name:		Relationship:	
Guardian Name (If nominee is minor):			
Nominee Address:			
City:	Pincode:	State:	
Declaration and Signature			
I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.			
Date:		Place:	
Signature 1st Applicant	Signature 2nd Applicant	Signature 3rd Applicant	
			

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NACH/ECS/AUTO DEBIT - MANDATE INSTRUCTION FORM

UMRN Date

TICK (✓)

CREATE ✓ Sponsor Bank Code Utility Code

MODIFY I/We hereby authorise to debit (tick ✓)

CANCEL Bank A/c. Number

With Bank IFSC or MICR

an amount of Rupees ₹

Frequency Monthly Qtly H-Yrly Yrly As & when presented Debit Type Fixed Amount Maximum Amount

Reference 1 (Mandate Reference No.) Phone No.

Reference 2 (Unique Client Code-UCC) 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

To

Or Untill Cancelled 1. 2. 3.

* This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the User entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.

* I have understood that I am authorized 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.

NSE NFM II

UMRN Date

TICK (✓)

CREATE ✓ Sponsor Bank Code Utility Code

MODIFY I/We hereby authorise to debit (tick ✓)

CANCEL Bank A/c. Number

With Bank IFSC or MICR

an amount of Rupees ₹

Frequency Monthly Qtly H-Yrly Yrly As & when presented Debit Type Fixed Amount Maximum Amount

IIN

Mandate 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

To

Or Untill Cancelled 1. 2. 3.

* This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the User entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.

* I have understood that I am authorized 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.

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PROFILE SHEET

Dear Customer,

Please select product that you wish to avail of:

Also, please answer a few questions to help us serve you better

Sr. No.	Questions	Option					
		A	B	C	D	E	F
1.	How would you like to trade with GEPL	Internet	Phone/Branch	Both			
2.	Have you been investing or trading in the stock market?	Yes	No				
3.	Do you trade in Cash market or Derivative market?	Cash	Derivative	Both	None		
4.	What is your frequency of your investing/trading?	Many times a day	Once a day	Many times a Week	Once a week	Once a month or more	None
5.	What is your current portfolio size? (Total investment in Shares and Mutual Funds)	Below 5 Lacs	5-25 Lacs	25-50 Lacs	50 Lacs and above	No Portfolio	
6.	How much more do you plan to invest in stock market in the next 2 years	Below 5 Lacs	5-25 Lacs	25-50 Lacs	50 Lacs and above		
7.	In which range would your annual income fall in to?	Below 5 Lacs	5-25 Lacs	25-50 Lacs	50 Lacs and above		
8.	What is your existing mode of transaction?	Internet based a/c.	Non Internet a/c.	No Broker			
9.	Do you have a Relationship Manager allocated to you?	Yes	No	None			
10.	Would you like to undergo free education?	Investments		Trading strategies based on technical analysis			
11.	How long have you been investing in stocks?	New 5 to 10 years		1 to 5 years More than 10 years			
12.	What is your source of stock market information?	TV Channels: CNBC Newspaper: Economic Times GEPL Research Magazines Friends/Relatives Broker		NDTV PROFIT Others (Specify) _____ Other Research Magazines Others (Specify) _____			
13.	What is your marketstock preference?	Market preference Speculator Regular investor Occasional investment Trader		Stock preference High risk return Bluechip Stock valued less than Rs. 10 Stocks recommended by GEPL research Stocks recommended by other research houses			
Other Brokerage Firm you are trading with please tick the		ICICI Securities	HDFC Securities	Kotak Securities	Reliance Money	Angel Broking	Anand Rathi
		India Infoline	Motilal Oswal	Indiabulls	Sharekhan	Religare	Any other _____
Number of Brokerage Firm							
Other Product Interest		IPO	PMS	Mutual Fund		Insurance	

For Office Use

Client profile