BCB BROKERAGE PRIVATE LIMITED
TRADING/DEMAT ACCOUNT OPENING KIT

ACCOUNT OPENING KIT – INDEX

(Annexure 7 of the SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/90 dated 17-Jun-2025)

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
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		A(2) KYC form for non-individuals - Document captures the basic information about the constituent and an instruction/check list –template as provided by CKYC	
		Additional documents/ declaration for PEP, Ownership and FATCA/ CRS	17-21
1B	Trading Account Opening	Document captures the additional information about the constituent relevant to trading account and an instruction/check list	22-26
2	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	27
3	Rights and Obligations *	Document stating the Rights & Obligations of stock broker/trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology-based trading).	28-33
4	Risk Disclosure Document (RDD)*	Document detailing risks associated with dealing in the securities market.	34-37
5	Guidance note *	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	38-39
6	Most Important Terms and Conditions*	Document detailing standard Most Important Terms and Conditions (MITC) focusing on critical aspects of the broker-client relationship	40-40
7	Policies and Procedures *	Document describing significant policies and procedures of the stock broker	41-42
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10	Securities Lending and Borrowing Scheme (SLBS) *	SLBS Rights and Obligations – BSE SLBS Rights and Obligations – NSE	50-56
11	Risk Management Policy	Document containing policy for voluntary freezing/ blocking the online access	57-58

* Clients may be given a copy of the same for which they issue acknowledgments instead of physically signing on each one

BCB BROKERAGE PRIVATE LIMITED
TRADING/DEMAT ACCOUNT OPENING KIT

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15	Tariff sheet	Document detailing the rate/rate/number of charges levied on the client for demat accounts	69
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19	Letter of noting	Document for confirmation of various noting made by the client of stock broker operations	78
20	Letter for operations of account	Letter giving various instructions to the broker for day to day operations of the trading account	79
21	Letter for authorized signatories	Letter giving details of persons authorized on behalf of the client	80

Name of stock broker DP/trading member/clearing member	BCB Brokerage Private Limited
SEBI Registration No. and date	INZ000200633 (Stock Broking) IN-DP-438-2019 (DP) IN-DP-CDSL-05-99 dt. 5th, February 2009 for CDSL
Registered/ Correspondence office address	1207/A P J Towers, Dalal Street, Fort, Mumbai 400 001 Phone: +91 22 22720000 Fax: +91 22 22722451
Website	www.bcbbrokerage.com
Senior Official / CEO (Chief Executive Officer)	Name Uttam Bharat Bagri Phone no. +91 22 2272 0000 Email ID bbplmumbai@bcbbrokerage.com
Compliance Officer (Broking)	Name Manish Mourya Phone no. +91 22 2272 0000 Email ID complianceofficer@bcbbrokerage.com

BCB BROKERAGE PRIVATE LIMITED
TRADING/DEMAT ACCOUNT OPENING KIT

Compliance officer (DP)	Name Manish Mourya Phone no. +91 22 2272 0000 Email ID complianceofficer@bcbbrokerage.com

For any grievance/dispute please contact BCB Brokerage Private Limited at the above address or email ID InvestorGrievance@bcbbrokerage.com and Phone no. 91-22 -22720000. In case not satisfied with the response, please contact the concerned exchange(s)/ Depository as under

Exchange/ Depository	Email	Phone
BSE	is@bseindia.com	+91 22 22728097
NSE	ignse@nse.co.in	+91 22 29658190
CDSL	helpdesk@cdslindia.com	+91 22 2272462

EMPOWERING INVESTORS
A SEBI INITIATIVE

SEBI SCORES - Filing compliant on SCORES – Easy & quick

a. Register on SCORES portal
b. Mandatory details for filing complaints on SCORES
I. Name, PAN, Address, Mobile Number, E-mail ID
c. Benefits:
i. Effective Communication
ii. Speedy redressal of the grievances

To,
BCB Brokerage Private Limited
1207/A P J Towers,
Dalal Street, Fort,
Mumbai 400 001
www.bcbbrokerage.com

Re: Already completed CKYC/ KRA process

Kindly note that (kindly tick as applicable)

	I/ We have already completed the "Know Your Client (KYC)" processes with the KYC Registration Agency (KRA) under the Securities and Exchange Board of India (KYC Registration Agency) Regulations, 2011 (KRA Regulations). Our data with the KRA systems is updated
	I/ We have already completed the "Know Your Client (KYC)" processes with Central Registry of Securitisation Asset Reconstruction and Security Interest of India (CERSAI) which has been appointed as the Central KYC Registry (CKYCR) under the Prevention of Money laundering (Maintenance of Records) Rules, 2005

The presently available data on CKYCR/ KRA is up to date and you are requested to kindly depend on the same.

In light of the same, we are not required to submit Part A of the Sr. No. 1 of your Account opening form which you may kindly note. Enclosed is a self-certified copy of the PAN Card and masked proof of AADHAR (where applicable).

✓
|_____|
Signature of Client/ Authorized Signatory

Place:

Date:

Know Your Client (KYC)

Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

CDSL VENTURES LIMITED

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BCB ®

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ _____ _____ _____

Maiden Name+ (if any) _____ _____ _____ _____

Fathers/Spouse's Name* _____ _____ _____ _____

Date of Birth* _____

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other _____

Residential Status* ☐ Resident Individual ☐ Non Resident Indian

Please Tick (✓) ☐ Foreign National ☐ Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)

Recent passport size Applicant Photo

Cross Signature across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX __ __ __ __

☐ B — Passport Number _____ (Expiry Date) _____

☐ C — Voter ID Card _____

☐ D —Driving License _____ (Expiry Date) _____

☐ E —NREGA Job Card _____

☐ F — NPR _____

☐ Z —Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line3 _____

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

State* _____ Country* _____

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

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line3 _____

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

State* _____ Country* _____

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

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card XXXX XXXX __ __ __ __

☐ B — Passport Number _____ (Expiry Date) _____

☐ C — Voter ID Card _____

☐ D —Driving License _____ (Expiry Date) _____

☐ E —NREGA Job Card _____

☐ F — NPR Letter _____

☐ Z—Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details

Email ID _____

Mobile No. _____ _____

Tel (Off) _____ _____ Tel (Res) _____ _____

4. Applicant Declaration

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: _____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN	Applicant Wet Signature

5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested) AMC / Intermediary Name :
Employee Signature and Stamp	Institution Name and Stamp

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

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

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

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

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC
    - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
    - The documents should be e-signed.
    - Applicant details are verified using UIDAI Biometric details.
    - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
    - Intermediary attestation on documents is exempted.
2. EKYC OTP
    - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
    - The documents should be e-signed.
    - Applicant details are verified using UIDAI details using OTP.
    - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
    - Intermediary attestation on documents is exempted.
3. ONLINE KYC
    - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
    - The documents should be e-signed.
    - Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
    - Intermediary attestation on documents (OSV) is exempted.
4. OFFLINE EKYC
    - Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
    - The documents should be e-signed.
    - Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
    - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
5. DIGILOCKER
    - Digital KYC performed through the documents (OVD) sourced from Digilocker.
    - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
    - Intermediary attestation on documents is exempted.

Email/ Mobile Relationship Updation (individual) + other details

To
BCB Brokerage Private Limited (BCB)
1207/A P J Towers, Dalal Street,
Fort, Mumbai 400 001
bbplmumbai@bcbbrokerage.com

Name of client/ account holder	
Income Tax PAN Number	

Kindly update our details for the trading/ demat accounts maintained with you:

Email ID	
Email ID belongs to (kindly tick) ✓	Self Account holder is Spouse of the email owner Account holder is Dependent child of the email owner Account holder is Dependent parent of the email owner
Name of Email Owner (if not self) And Relation	
Mobile Number for the account (for SMS and registering with the MIIs)	
Mobile belongs to (kindly tick) ✓	Self Account holder is Spouse of the mobile owner Account holder is Dependent child of the mobile owner Account holder is Dependent parent of the mobile owner
Name of Mobile Owner (if not self) And Relation	

Additional mobile if above number does not have WhatsApp facility (Optional)

Mobile Number for the account for WhatsApp	
Mobile belongs to (kindly tick)	
Name of Mobile Owner (if not self) And Relation	

Additional information for KRA

Marital Staus	**Married** **Unmarried**

We consent to Whatsapp / SMS/ other communication on the numbers provided by us above.

Signature	
Place	
Date	

Annexure A1

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

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

For office use only (To be filled by financial institution) Application Type* ☐ New ☐ Update ☐ Delete

KYC Number (Mandatory for KYC update request)

☐ 1. DETAILS OF RELATED PERSON (Please refer instruction **D** & **E** at the end)

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

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

Name* Prefix First Name Middle Name Last Name

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

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

PAN* ☐ Form 60 furnished

☐ 2. PROOF OF IDENTITY AND ADDRESS*

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

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

☐ PHOTO*

Address

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

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction **B** at the end)

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

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

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

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

☐ 4. CONTACT DETAILS

Tel. (Off) — Tel. (Res) — Mobile —

Email ID

☐ 5. REMARKS (If any)

6. APPLICANT DECLARATION

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

Date : D D — M M — Y Y Y Y Place:

Signature /Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

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

KYC VERIFICATION CARRIED OUT BY	
Date	D D — M M — Y Y Y Y
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

[Employee Signature]

INSTITUTION DETAILS	
Name	
Code	

[Institution Stamp]

Know Your Client (KYC)

Application Form (For Non- Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

CDSL VENTURES LIMITED

….Exploring New Horizons

Application Number:

BCB®

Application Type*: ☐ New KYC ☐ Modification KYC

1. Entity Details (please refer guidelines)

PAN* __ __ __ __ __ __ __ __ __ __ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Date of Incorporation* __ __ __ __ __ __ __ __ Place of Incorporation* _____

Date of Commencement* __ __ __ __ __ __ __ __ Registration Number* _____

Entity Type*
Please Tick (✓)

- ☐ Private Ltd. Co.
- ☐ Public Ltd. Co.
- ☐ Body Corporate
- ☐ Partnership
- ☐ Trust/Charity/NGO
- ☐ HUF
- ☐ FPI Category I
- ☐ FPI Category II
- ☐ AOP
- ☐ Bank
- ☐ Government Body
- ☐ Defence Establishment
- ☐ Body of Individuals
- ☐ Society
- ☐ LLP
- ☐ Non-Government Organization
- ☐ Others _____

2. Proof of Identity+ (please refer the guidelines)

- ☐ Officially Valid Document(s) in respect of person authorized to transact
- ☐ Certificate of Incorporation/Formation _____ ☐ Registration Certificate _____
- ☐ Memorandum of Articles and Association ☐ Partnership Deed ☐ Trust Deed
- ☐ Board Resolution ☐ Power of attorney granted to its manager, office, employees to transact on its behalf
- ☐ Activity Proof –1+ (For Sole Proprietorship Only) ☐ Activity Proof –2+ (For Sole Proprietorship Only)

3. Address Details* (please refer the guidelines)

A. Registered Address*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District+ _____ Pin Code* _____

State* _____ Country* _____

B. Correspondence/Local Address in India (if different from above)*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District+ _____ Pin Code* _____

State* _____ Country* _____

Applicant Digital Signature (DSC)

Proof of Address* (attested copy of any one POA to be submitted—#Not more than 3 months old)

☐ Certificate of Incorporation/Formation ☐ Registration Certificate ☐ Other document _____

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

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

☐ Any other proof of address document (as listed overleaf) _____

4. Contact Details

Email ID _____ Mobile No. _____

Email ID _____ Mobile No. _____

Tel (Off) _____ Fax _____

5. Annexures Submitted

Number of Related Persons - ☐

6. Remarks / Additional Information

7. Applicant Declaration

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: __ __ __ __ __ __ __ __ (DD-MM-YYYY)

PLACE: _____

Applicant Digital Signature (DSC)	Applicant Wet Signature

8. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date __ __ __ __ __ __ __ __ Emp. Name _____ Emp. Code _____ Emp. Designation _____	☐ Self certified document copies received (Originals Verified) ☐ True Copies of documents received (Attested) AMC / Intermediary Name OR Code:
Employee Signature and Stamp	Employee Signature and Stamp

—— This space is intentionally left blank —— This space is intentionally left blank —— This space is intentionally left blank—— This space is intentionally left blank——

Know Your Client (KYC)

Annexure (For Non- Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

CDSL VENTURES LIMITED

….Exploring New Horizons

Application Number:

BCB ®

Application Type*: ☐ New KYC ☐ Modification KYC

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* __ __ __ __ __ __ __ __ __ __ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ _____ _____ _____

Maiden Name+ (if any) _____ _____ _____ _____

Fathers/Spouse's Name* _____ _____ _____ _____

Date of Birth* __ __ __ __ __ __ __ __

Gender* ☐ Male ☐ Female ☐ Transgender

Nationality* ☐ Indian ☐ Other _____

Applicant Photo

Related Person Type*

☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official Proprietor

☐ Beneficiary ☐ Authorized Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder

☐ Others _____(please specify) DIN: _____ (mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX __ __ __ __

☐ B — Passport Number _____ (Expiry Date) __ __ __ __ __ __ __ __

☐ C — Voter ID Card _____

☐ D —Driving License _____ (Expiry Date) __ __ __ __ __ __ __ __

☐ E —NREGA Job Card _____

☐ F — NPR _____

☐ Z —Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District+ _____ Pin Code* _____

State* _____ Country* _____

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

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District+ _____ Pin Code* _____

State* _____ Country* _____

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

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card XXXX XXXX __ __ __ __

☐ B — Passport Number _____ (Expiry Date) __ __ __ __ __ __ __ __

☐ C — Voter ID Card _____

☐ D —Driving License _____ (Expiry Date) __ __ __ __ __ __ __ __

☐ E —NREGA Job Card _____

☐ F — NPR Letter _____

☐ Z—Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details

Email ID _____

Mobile No. _____ _____

Tel (Off) _____ _____ Tel (Res) _____ _____

4. Applicant Declaration

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: __ __ __ __ __ __ __ __ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN	Applicant Wet Signature

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date __ __ __ __ __ __ __ __ Emp. Name _____ Emp. Code _____ Emp. Designation _____	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested)
Employee Signature and Stamp	Institution Name and Stamp

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

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

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. Proof of address in name of spouse may be accepted.
6. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
7. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

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

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

F. Online Mode Processing of KYC:

1. ONLINE KYC
    - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
    - The documents should be digitally signed using DSC.
    - Intermediary attestation on documents (OSV) is exempted.

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Type of Entity	Additional Documents Required over and above PAN, POI and POA
Corporate	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly , in the company in terms of SEBI takeover regulations, duly certified by the company secretary/ whole time director/ MD (to be submitter every year). • Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control—either directly or indirectly. • Copy of Memorandum and Articles of Association and Certificate of Incorporation. • Copy of Board Resolution for Investment in security markets. • Authorized signatories list with specimen signatures. • Shareholding pattern.
Partnership Firm	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered partnership firms only). • Copy of Partnership Deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Shareholding pattern.
Trust	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered Trusts only). • Copy of Trust Deed. • List of Trustees certified by Managing Trustees/ CA • Photograph, POI, POA, PAN of Trutees.
HUF	• PAN of HUF. • Deed of Declaration of HUF or List of Co-Parceners. • Bank Passbook / Bank statement in the name of HUF. • Photograph, POI, POA, PAN of KARTA.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures.
Unincorporated Association or a Body of Individuals	• Proof of existence or Constitution document. • Resolution of Managing Body and power od Attorney granted to transact business on its behalf.
Army/Government Bodies	• Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Army/Government Bodies	• Self certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Society Registration Act. • List of managing committee members. • Committee Resolution for persons authorized to act as authorised signatories with specimen signatures. • True copy of society rules and by-laws certified by Chairman/Secretary.
FPI Category I	• FPI Certificate • Constitution Documents • Copy of Board Resolution (optional) • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) • Authorized signatories list with specimen signatures.
FPI Category II	• FPI Certificate • Constitution Documents • Copy of Board Resolution • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity • Authorized signatories list with specimen signatures.

Email/ Mobile Relationship Updation (non-individuals)

To
BCB Brokerage Private Limited (BCB)
1207/A P J Towers, Dalal Street,
Fort, Mumbai 400 001
bbplmumbai@bcbbrokerage.com

Name of client/ account holder	
Income Tax PAN Number	

Kindly update our details for the trading/ demat accounts maintained with you:

Email ID	
Email ID belongs to (kindly tick) ✓	Account Holder Authorised Signatory of Account Holder
Name and Designation of Authorised Signatory to whom the Email ID belongs to	
Mobile Number for the account (for SMS and registering with the MIIs)	
Mobile belongs to (kindly tick) ✓	Account Holder Authorised Signatory of Account Holder
Name and Designation of Authorised Signatory to whom the Mobile belongs to	

Additional mobile if above number does not have WhatsApp facility (Optional)

Mobile Number for the account for WhatsApp	
Mobile belongs to (kindly tick)	
Name of Mobile Owner (if not self) And Relation	

We consent to Whatsapp / SMS/ other communication on the numbers provided by us above.

Signature (with stamp)	
Name of Signatory	
Designation	
Place	
Date	

Politically Exposed Persons (PEP)/ Relative of PEP (RPEP) declaration – NON-INDIVIDUALS

(In compliance with Annexure 2.2A of CDSL Operating Instructions as on September, 2025)

(to be filled only if applicable)

Name of holder	
PAN of the holder	

Details of Persons:

Sr. No	Name of the Authorized signatories /Promoters /Partners /Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc)	Please tick the relevant option.
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP

	Sole / First Authorised Signatory	**Second Authorised Signatory**	**Third Authorised Signatory**
Name			
Designation			
Signature(s)			
Place:			
Date:			

SHAREHOLDING/ OWNERSHIP PATTERN (NON-INDIVIDUALS NOT BEING LISTED ENTITY)

[SEBI circular ref. CIR/MIRSD/2/2013 dated January 24, 2013 r/w SEBI/HO/MIRSD/MIRSDSECFATF/P/CIR/2024/78 dated June 6, 2024 as amended / modified]

Name of shareholder/ partner/ trustee	PAN Number/ AADHAR Number	Shares owned/ Profit sharing Ratio (if any)	% of total	Remarks

a. In case of **Company**, details of

i. Natural person(s), who, whether acting alone or together, or through one or more juridical person owning or entitled to more than 10% of shares or capital or profits of the company,

or

ii. Natural person(s), who, whether acting alone or together, or through one or more juridical person exercising right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholders' agreements or voting agreements

In case ownership/ shareholding of **more than 10%** is held by non-natural persons, kindly provide details of the step-down ownership/ shareholding of that entity and further on till such time the natural person(s) are identified.

b. **In case of Partnership Firm,** kindly provide details of the natural person(s) who, whether acting alone or together, or through one or more juridical person, has ownership of / entitlement to more than 10% of capital or profits of the partnership or who exercises the right to control the management or policy decision.

c. **In case of an unincorporated association or body of individuals,** kindly provide details of the natural person(s), who, whether acting alone or together, or through one or more juridical person, has ownership of or entitlement to **more than 15%** of the property or capital or profits of such association or body of individuals.

Where no natural person is identified under (a) or (b) or (c) above kindly provide details of the relevant natural person who holds the position of senior managing official

In case of Trust, kindly provide details of the author of the trust, settlor of the trust, the trustee, the protector, the beneficiaries with **10% or more** interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

FATCA/CRS Declaration Form – Individual

To,
BCB Brokerage Private Limited
1207/A P J Towers, Dalal Street, Fort, Mumbai 400 001

As per the definitions of Rules 114F – 114FH of the Income Tax Rules, 1962 as amended, I/we submit as under:

FATCA/CRS Declaration Form
Part I- Please fill in the country for each of the following:
1 Country of:

a) Birth	
b) Citizenship/ Nationality	
c) Residence 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 field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:

TIN (if applicable)	Country of Issue (if applicable)

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. Provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate _____(if applicable). 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 United 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 BCB Brokerage Private Limited (BBPL) is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. BBPL 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 within 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 BBPL may also be required to report, reportable details to CBDT or close or suspend my account.

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

Part IV- Self-Certification:
Applicable 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 _____

Signature	
Name	
Date	

SELF-CERTIFICATION/ DECLARATION FOR FATCA/ CRS – Non individual

To,
BCB Brokerage Private Limited 1207/A P
J Towers, Dalal Street, Fort, Mumbai 400
001

As per the definitions of Rules 114F – 114FH of the Income Tax Rules, 1962 as amended, I/we answer as under:

A. Is the account holder a government body/International Organization/listed company on recognized stock exchange If listed, please specify name of stock exchange, if you are listed company and proceed to sign the declaration _	Yes/ No
B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India (this question to be answered only if answer to A above is No)	Yes/ No
C. Is the account holder an Indian Financial Institution Kindly mention you GIIN if any ____ (this question to be answered only if answer to B above is No)	Yes/ No
D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen (this question to be answered only if answer to C above is No)	Yes/ No
E. The applicant is: (k) An applicant taxable as a US Person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,	Yes/ No
F. 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)	Yes/ No

Under penalty of perjury, I/we hereby declare/ certify that that:

• I/We understand that the BCB Brokerage Private Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. BCB Brokerage Private Limited is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

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

• I/We agree that as may be required by domestic regulators/tax authorities, BCB Brokerage Private Limited may also be required to report, reportable details to CBDT or close or suspend my account.

• I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant, if any.

Signature	
Names and designation of Signatories	
Date	

BCB BROKERAGE PRIVATE LIMITED
TRADING/DEMAT ACCOUNT OPENING KIT

TRADING ACCOUNT RELATED DETAILS
(Annexure 8 of the SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/90 dated 17-Jun-2025)
For Individuals / Non-Individuals

A. BANK ACCOUNT(S) DETAILS

Bank Name	
Branch address	
Bank account no.	
Account Type: Saving/Current/ Overdraft / NRI/ NRE/ NRO/ Others	
MICR Number	
IFSC code	

(Kindly provide details of all other bank accounts from where you can transfer/ receive funds with BCB Brokerage Private Limited, if any, as an annexure)

B. DEPOSITORY ACCOUNT(S) DETAILS [OTHER THAN THOSE MAINTAINED WITH BCB BROKERAGE PRIVATE LIMITED]

Depository Participant Name	
Depository Name	NSDL/CDSL
Beneficiary name	
DP ID	
Beneficiary ID (BO ID)	

(Kindly provide details of all other demat accounts from where you can transfer/ receive securities with BCB Brokerage Private Limited, if any, as an annexure)

C. TRADING PREFERENCES

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

Exchanges	NSE & BSE	
All Segments	Cash / Mutual Fund	F&O

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

_____

D. PAST ACTIONS

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

E. DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS

If client is dealing through the Authorized Person, provide details of the Authorized Person	

Whether dealing with any other stock broker if case dealing with multiple stock brokers, provide details of all)	
Name of stock broker	
Client Code	
Exchange(s)	

Details of disputes/dues pending from/to such stock broker	

F. ADDITIONAL DETAILS

Whether you wish to receive Electronic Contract Note (ECN)	YES/ NO
Specify your Email id, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others	
Any other information	

ANY OTHER INFORMATION:

Purpose and intended nature of the business relationship (under PMLA)	__Investment __Trading __Speculation __Others (please specify)
Are you a trading member / employee in the employment of another trading member	Yes/ No
Whether applicant registered as an Authorised Person (AP) of any other Stockbroker? If yes, please give details	
Whether applicant is connected to any listed/ to be listed company and/or reasonably expected to have Unpublished Price Sensitive Information (UPSI) of that company? If yes, please give details	

F1 – FINANCIAL DETAILS

Gross Annual Income Details for last financial year	____lakh
Self-declared net worth (should not be older than 1 year)	____lakh

F2 - FOR MINOR ACCOUNTS ONLY

Guardian Details	Name PAN Address Contact

F3 – OCCUPATION DETAILS (for individuals only)

Occupation	❑ Private / Public Sector ❑ Govt. Service ❑ Business ❑ Professional ❑ Student ❑ Agriculturist ❑ Retired ❑ Housewife ❑ Other (Specify)_____

F4 – RESIDENCY STATUS

Residency status as per income Tax Act	
Residency status as per income FEMA	
For FEMA non-residents non automatic approval cases, RBI Permission details for investment under the Portfolio Investment Scheme (PIS) / other approvals	
For FEMA non-residents FEMA Declaration - I/we declare that I/we have complied with and will continue to comply with FEMA regulations and other applicable laws	Sign here _____

F5 – CUSTODIAN/ PMS DETAILS (IF APPLICABLE)

Details of Custodian for Custodian settled trades, if applicable	
Is applicant account being operated by a SEBI registered portfolio manager? If yes, kindly provide details	

F6 – FIT AND PROPER DECLARATION

Applicant is Fit and Proper Person under Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2018 and eligible to hold/ deal in securities of listed stock exchanges	Yes/ No
Applicant is Fit and Proper Person under the SEBI (Depositories and Participants) Regulations, 2018 and eligible to hold/ deal in securities of listed depositories	Yes/ No

F7 – PEP DECLARATION

Is Applicant Politically Exposed Person(PEP) or Related to politically Exposed Person (RPEP)	❑ Only PEP but not RPEP ❑ Both PEP and RPEP ❑ Neither PEP nor RPEP

G. INTRODUCER DETAILS (optional)

Name of the Introducer	(Name) (Middle Name) (Surname)
Status of the Introducer	Sub-broker/ Remisier/ Authorized Person Existing Client (Please mention UCC_____) Others (please specify)
Address and phone no. of the Introducer	
Signature of the Introducer	

DECLARATION

1. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/we confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/we further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/we do hereby agree to be bound by such provisions as outlined in these documents. I/we have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

|√_____|
Signature of Client/ Authorized Signatory

Place Date

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

	Documents Verified with Originals *	**Client Interviewed By/Approved by**	**In-Person Verification done by**	**Website tally of PAN number**	**Third party Verification un.org**
Name of the Employee ,					
Employee Code					
Designation of the employee					
Date					
Signature					

* In case the original of any document is not produced for verification, then the copies should be properly attested

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

For BCB Brokerage Private Limited

Name of Authorised Signatory
Sign of Authorised Signatory with Seal/Stamp Date:

INSTRUCTIONS/ CHECK LIST

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

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

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

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

TARIFF SHEET – BROKING

[Pursuant to clause 21.2.1 of SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/90 dated 17-Jun-2025]

Brokerage – Cash Segment/ Offer to Buy/ offer to sell/ tender offers/ buyback/ etc
As negotiated from time to time (not exceeding 2.5% of the transaction(s) value (minimum 25np per share) and subject to any regulatory caps.

Brokerage – Derivatives Segment
As negotiated from time to time (not exceeding 2.5% of the transactions value in futures (subject to any regulatory caps), not exceeding 2.5% of premium amount in options or Rs. 100/- per lot whichever is higher) - subject to any regulatory caps

Brokerage/ Processing fees – Securities Lending Borrowing
As negotiated from time to time (not exceeding 25% of the lending fees earned) and subject to any regulatory caps.

Interest
For late payment/ delayed payment – 1.5% per month. For margin trading – 1.5% per month.

Recovered at actuals
• Goods and Service Tax (GST)
• Stock Exchange transactions charges
• SEBI Fees
• Securities Transaction Tax (STT)
• Stamp Duty
• Exchange penalties for short margin
• Other exchange penalties dues to acts of errors and omissions of the clients (to the extent permitted by law)
• Other charges as communicated to clients

The Intermediary may increase his brokerage at any time giving a 30 days' notice. However, no notice period is required for reduction in brokerage for a specific period of time/ till further notice.

|√_____|
Signature of Client/Authorized Signatory
Place
Date

RIGHTS AND OBLIGATIONS OF STOCK BROKERS AND CLIENTS

[Pursuant to Annexure 9 of SEBI Master Circular SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/90 dated 17-Jun-2025]

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.

CLIENT INFORMATION

6. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
7. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
8. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
9. The stock broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

10. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
11. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

12. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
13. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
14. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
15. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
16. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

17. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

18. 1Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non- payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
19. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

    The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate Entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

20. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
21. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
22. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to conciliation/arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
23. The stock broker shall ensure faster settlement of any dispute through conciliation/arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the conciliation report/settlement agreement /arbitration awards made in such proceedings.
24. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

25. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
26. The stock broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

ADDITIONAL RIGHTS AND OBLIGATIONS

27. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
28. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
29. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
30. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

31. The stock broker shall send a complete `Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
32. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
33. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
34. The stock broker / stock broker and depository participant shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

35. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
36. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
37. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

1. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
2. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send either a physical contract note to the client or an ECN through electronic instant messaging services within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
3. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

4. In addition to the specific rights set out in this document, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
5. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
6. The stock broker and the client shall abide by conciliation report/settlement agreement/arbitration award passed by the conciliator/Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
7. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
8. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
38. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading

through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever..
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

RISK DISCLOSURE DOCUMENT (RDD) FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

[Pursuant to Annexure 10 of SEBI Master Circular SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/90 dated 17-Jun-2025]

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1. Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2. Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is

important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3. Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4. Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1. A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2. A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3. A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre -determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5. Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6. Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7. System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of

unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1. Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2. Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3. Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4. Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. **TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:**

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1. The term ‘constituent’ shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges

4.2. The term ‘stock broker’ shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

[Pursuant to Annexure 11 of SEBI Master Circular SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/90 dated 17-Jun-2025]

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.exchange.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub- broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
    a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
    b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
    c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

KINDLY NOTE

The clause for running account of securities was in force as per clause 12 of the SEBI circular ref. MIRSD/ SE /Cir-19/2009 dated 03-Dec-2009 on 'Dealings between a client and a Stock Broker', where a client could specifically authorize the stock broker to maintain a running account of 'funds' and 'securities' subject to the specified conditions and other circulars from time to time.

Vide SEBI circular ref. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20-Jun-2019, the provisions with regard to running account settlement of clients' funds and securities specified in SEBI Circulars MIRSD/SE/Cir-19/2009 dated 03-Dec-2009 and SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated 26-Sep-2016 was modified to the extent as stated hereinabove and the said circulars shall be applicable only as guidelines for running account settlement of clients' "funds" only. The Guidance Note/ Dos and Don'ts may be accordingly read.

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

[In compliance with clause 21.1.6. SEBI circular SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/90 dated 17-Jun-2025, SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/180 dated November 13, 2023, Annexure A of BSE Notice 20240105-38 dated January 5, 2024 & Annexure A of NSE Circular Ref. No: 03/2024 bearing Download Ref No: NSE/INSP/60147 dated January 5, 2024]

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

POLICIES AND PROCEDURES FOR CLIENT DEALINGS – ALL EXCHANGES MANDATORY

(as required by SEBI circular MIRSD/ SE /Cir-19/2009 dated December 3, 2009)

Version 8.0

Policy a. refusal of orders for penny stocks

BCB Brokerage Private Limited (BBPL) does not place any restriction on trading of any listed security on any of the exchanges except in cases where there are Surveillance concerns like:

1. Securities on which Additional Surveillance Measure (ASM) have been applied
2. Securities on which Graded Surveillance Measure (GSM) have been applied
3. Securities in which unsolicited SMSs is found to be circulated
4. Securities which are not in compliance with the listing requirements like Z Group, etc.
5. Any other security with any Surveillance concerns

Policy b. setting up client's exposure limit

BBPL sets the exposure allowed to the client based on the combination of the following factors:

1. Ledger balance
2. Securities provided as Margin Pledge
3. Early pay-in credit expected
4. Past track record of the client in their dealings
5. Networth/ goodwill of the clients
6. Recommendations of the Branch Manager/ Authorized Person

The decision of the Chief Risk Officer (CRO) on the matter is final.

Policy c. applicable brokerage rate (all securities/ all segments/ all exchanges)

Based on the track record of the clients, past and future volume expectations and the recommendations of the Branch Manager/ Authorized Person, the brokerage of the client is fixed on case to case basis and tariff sheet made. All charges will be capped to the limits allowed by SEBI/ Exchanges

Policy d. imposition of penalty/delayed payment charges by either party, specifying the rate and the period not resulting in funding by the broker in contravention of the applicable laws

In case of delay in settlement pay-in obligations/ margin obligations, such delay is interest of 1.5% per month may be charged to the clients (subject to it charging being in a manner not in contravention to applicable laws).

All penalties/ fees/ fines/ charges levied by any Exchange/ Clearing House/ Clearing Corporation/ SEBI/ any regulator on BBPL due to the acts/ actions/ orders/ trades of the clients will be recovered from the clients as long as such recovery is not restricted by law.

Policy e. the right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (Limited to the extent of settlement/margin obligation)

In case the client fails to meet his margin/ settlement obligations on same being due, the member shall have the right to sell clients' securities or close clients' positions in a manner as permitted in the rules/ regulations/ bye laws/ circulars of the concerned exchanges

Policy f. shortages in obligations arising out of internal netting of trades

In case of internal shortage positions, the same shall be sent for self-auction facility where available. Where self-auction facility is not available/ not availed (and if permissible at the respective exchange), the securities shall be purchased back in the account of the seller who has not delivered, and the securities so purchased shall be given to the buyer in the receipt of the same. In case the securities cannot be purchased back for any reason whatsoever, the positions will be closed out as per Exchange formula.

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

The risk management policy of BBPL is put on the website of the client. Based on the said policy, the member may not allow the client to take further position in the market. Further, the existing position of the client may be closed and the securities of the client lying with the trading member may be sold when:

1. The client fails to meet his commitment for deposit of funds/ securities (including cases of cheque return)

2. Where the client is unable to provide funds/ securities in a manner that can be transferred to the exchange immediately for pay-in/ margin obligations
3. When the trading member has reasonable grounds to believe that the client is involved in illegal/ unethical/ undesirable activities
4. In case of high market volatility where the current margins of the clients with the Trading Member does not cover the value at risk of the client
5. The client has not paid margins due

Policy h. temporarily suspending or closing a client's account at the client's request
At the written/ verifiable verbal request of the client, the trading account of the client would be put in the suspended mode. The said account would remain in suspended mode till such time the client requests for the reactivation of account.

Policy i. deregistering a client
A client will be deregistered on the following situations:
1. Where the client has defaulted at the trading member
2. At the request of the client for the same
3. By trading member with advance notice

Policy j. Policy for inactive accounts (dormant accounts) ***[SEBI Circular MIRSD/ SE /Cir-19/2009 dated 03-Dec-2009]***
Clients will be marked inactive as per the "Inactive Client Policy" of BBPL, as amended from time to time.

Policy k. Additional information ***[SEBI circular ref. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20-Jun-2019]***
As per the SEBI circular ref. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20-Jun-2019 and the Frequently Asked Questions issued by the Stock exchanges on 27-Sep-2019, the following policies will be followed by us:
1. Where securities lying with BBPL in collateral or otherwise are in excess of what can be retained by BBPL as per the norms of the exchanges, such excess securities will be returned to the client at the time of funds settlement
2. Any instructions to BBPL for maintaining running account of securities shall stand deleted and BBPL shall not act upon such instructions
3. In case of non-meeting of settlement obligations, the positions of the clients shall be liquidated in the manner as prescribed in the Risk Management policy of BBPL.
4. The payment terms would be that the clients have to meet their margin and settlement obligations at a level as prescribed by the exchanges in the manner as prescribed in the Risk Management policy of BBPL.

This policy has been adopted by BCB Brokerage Private Limited at its Board Meeting held on 30-Sep-2021 and is subject to Annual Review. The policy was last reviewed on 31st October, 2024 with changes.

Kindly note that the policy may have been revised over time. Latest version of the policy would be available on www.bcbbrokerage.com

RIGHTS & OBLIGATIONS OF STOCK BROKERS & CLIENTS FOR MARGIN TRADING FACILITY (MTF)

(In compliance with SEBI circular CIR/MRD/DP/54/2017 dated June 13, 2017)

As prescribed as per Annexure A of BSE Notice No. 20170619-26 dated 19-Jun-2017

1. Stock Broker/ Trading Member is eligible to provide Margin Trading Facility (MTF) in accordance with SEBI & Exchange Guidelines as specified from time to time.
2. Stock Broker/ Trading Member desirous of extending MTF to their clients is required to obtain prior permission of BSE. Stock Broker/ Trading Member may note that BSE has the right to withdraw the permission at any time.
3. Stock Broker/ Trading Member shall extend the MTF to the client, on such terms and conditions as specified by the Stock Exchange/ SEBI from time to time. Stock Broker/ Trading Member and the client shall abide by the requirements of the margin trading framework, including rights and obligations, as prescribed by Stock Exchange/ SEBI/ Stock Broker/ Trading Member.
4. Stock Broker/ Trading Member shall intimate all the terms and conditions, including maximum allowable exposure, specific stock exposures etc., as well as the rights and obligations to the client desirous of availing MTF.
5. Stock Broker/ Trading Member may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin, from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as the Stock Broker/ Trading Member may permit. It may however, be noted that the initial/ maintenance margins shall never be lower than that prescribed by Stock Exchange/ SEBI.
6. Stock Broker/ Trading Member shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.
7. Stock Broker/ Trading Member shall liquidate the securities and other collateral, if the client fails to meet the margin call to comply with the margin requirement as specified by Stock Exchange/ SEBI/ Stock Broker/ Trading Member. In this regard, Stock Broker/ Trading Member shall also list down situations/ conditions in the which the securities may be liquidated (Stock Broker/ Trading Member to list down situations/ conditions):
8. Stock Broker/ Trading Member shall not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.
9. The stocks deposited as collateral with the Stock Broker/ Trading Member for availing MTF (Collaterals) and the stocks purchased under the MTF (Funded stocks) shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount.
10. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.

As prescribed as per Annexure-A of NSE Circular Ref. No: 340/2017 (Download Ref No.: NSE/COMP/35260) dated 30-Jun-2017

CLIENT RIGHTS

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position/ security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stockbroker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for MTF at any time so long as the securities so offered are approved for MTF.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

CLIENT OBLIGATIONS

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of MTF in accordance with the terms and conditions of MTF offered by the broker, method of

communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.

2. Client shall inform the broker of its intent to shift the identified transaction under MTF within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as the Stockbroker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stockbroker within such time as the Stockbroker may specify.
5. By agreeing to avail MTF with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the MTF till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the MTF within the timelines as may be agreed between the client and broker.

STOCKBROKER RIGHTS

1. Stockbroker and client may agree between themselves the terms and conditions including commercial terms if any before commencement of MTF.
2. Stockbroker may set up its own risk management policy that will be applicable to the transactions done under the MTF. Stockbroker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the MTF.
3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the MTF.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

STOCKBROKER OBLIGATIONS

1. Stockbroker shall agree with the client the terms and condition before extending MTF to such client. However, for clients who already have existing trading relationship and want to avail of MTF, Stockbroker may take consent in writing in his own hand or in any irrefutable electronic method after Stockbroker has communicated the terms and conditions of MTF to such existing clients.
2. The terms and conditions of MTF shall be identified separately, in a distinct section if given as a part of account opening agreement.
3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stockbroker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
4. The Stockbroker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
8. The Stockbroker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.

9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there was no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with the Stockbroker for availing MTF (Collaterals) and the stocks purchased under the MTF (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;
13. Stockbroker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under MTF.

TERMINATION OF RELATIONSHIP

1. The margin trading arrangement between the stockbroker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the MTF provided to the Stockbroker or the Stockbroker surrenders the facility or the Stockbroker ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at any time after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the MTF in the event of broker committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stockbroker. The Stockbroker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stockbroker to make such adjustment.
4. After such adjustment, if any further amount is due from the client to the Stockbroker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stockbroker, the Stockbroker shall release the balance amount to the client.
5. If the client opts to terminate the MTF, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

The rights and obligations prescribed hereinabove shall be read in conjunction with the rights and obligations as prescribed under SEBI Master Circular SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/71 dated May 17, 2023

Additional points of Margin Trading for compliance with requirements of Para 9 (situations/ conditions in which the securities may be liquidated) and Para 23 (additional or more stringent conditions) of SEBI circular ref. CIR/MRD/DP/54/2017 dated 13-Jun-2017 on the subject of "Comprehensive Review of Margin Trading Facility" and other requirements of Exchange circular(s)

Stockbroker shall liquidate the securities, if the client fails to meet the margin call to comply with the conditions as mentioned in SEBI circulars or specified in the "Rights and Obligations Document" specified by exchange(s) from time to time. The following are the list of situations/ conditions in which the funded/ collateral securities may be liquidated:

- Non maintenance of sufficient margin despite of margin call.
- Client failure to meet commitment for deposit of funds/ securities (including cases of cheque return).
- Where the client is unable to provide funds/ securities in a manner that can be transferred to the exchange immediately for pay-in/ margin obligations.
- When there are reasonable grounds to believe that the client is involved in illegal/ unethical/ undesirable/ manipulative activities.

- In case of high market volatility where the current margins of the clients with the Trading Member does not cover the value at risk of the client.
- In case the Client violates/ breaches any provision of this Arrangement or provides any incorrect or misleading information.
- If the Client has becomes the subject of any proceedings under bankruptcy/ insolvency law.
- On the death, lunacy or other disability of the Client.
- If Client is convicted under any criminal law in force.

Notwithstanding the above, Stockbroker can withdraw the MTF of the client at any point of time with a one day notice.

The exposure to any single client at any point of time and well diversification of the exposure towards stocks purchased under MTF and collateral kept in the form of stocks, would be as per the policy of the Stockbroker from time to time.

In case of shortage of margin, the Stockbroker shall make a margin call to the clients giving then one working day to make good the margin shortage, failing which the position would be squared off in the following sequence.

- First, the funded securities would be sold.
- If dues still exist in the account of the client, then the collateral securities would be sold.

Please provide us with Margin Trading facility at BSE and NSE.

|√_____|
Signature of Client/ Authorized Signatory (only if MTF desired)

Place Date

BSE StAR MF - TERMS AND CONDITIONS

(In compliance with SEBI /IMD / CIR No.11/183204/ 2009 dated November 13, 2009 & Annexure 3 of BSE Notice No. 20091202-3 dated December 02, 2009)

Letter to be provided by the investor to the MFI for registering as a client for BSE StAR MF and detailed terms & conditions for the Clients

I/We am/are registered as your client with Client Code No. and have executed the Trading Member and Client Agreement for the purpose of trading in the Equity Segment of Bombay Stock Exchange Ltd. (Exchange).
I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF.
For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.
I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.
I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).
I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.
I/we therefore request you to register me/us as your client for participating in BSE StAR MF.
Thanking you
Yours faithfully
Details of terms & conditions for the Investor / Client for using BSE StAR MF Platform

1. Pre-requisites for becoming Investor / Client for the BSE STAR MF platform

1.1. The client who is desirous of investing in units of mutual fund schemes through the BSE STAR MF.
1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the BSE STAR MF platform.
1.3. The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transacting through the MFI.
1.4. The Client has approached to the MFI with the application for availing the BSE STAR MF platform.
1.5. The client has submitted relevant KYC (Know Your Client) details to the MFIs.

2. Terms and Conditions

2.1. The client shall be bound by circulars issued by BSE's Rules, Regulations and Notices/circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
2.2. The client shall notify the MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the BSE STAR MF platform or at any time thereafter.
2.3. The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI.
2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
2.5. The client shall be wholly responsible for all his investment decisions and instruction.
2.6. The client shall ensure continuous compliance with the requirements of the BSE, SEBI and AMFI.
2.7. The Client shall pay to the MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that MFI renders to the Client.

2.8. The client will furnish information to the MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
2.9. In the event of non-performance of the obligation by the MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL).
2.10. In case of any dispute between the MFIs and the investors arising out of the BSE STAR MF platform, BSE and / or ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

NSE MFSS - TERMS AND CONDITIONS

(In compliance with SEBI /IMD / CIR No.11/183204/ 2009 dated November 13, 2009 & Annexure 3 of NSE Circular No. 005 dated November 27, 2009 bearing Download No.: 13564)

Letter to be provided by the Investor/client to the Participant & Terms & conditions for the Investors/Clients

I/We am/are interested in availing the MFSS facility of the National Stock Exchange of India Ltd. (Exchange) for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.
For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.
I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 27-Nov-2009 and as may be specified by the Exchange from time to time in this regard.
I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).
I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.
I/We therefore request you to register me/us as your client for participating in the MFSS.
Details of terms & conditions for the Investor / Client for using New MFSS facility

1. **Pre-requisites for becoming Investor / Client for the New MFSS facility.**

1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
1.4. The Client has approached to the Participant with the application for availing the New MFSS facility.
1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants.

2. **Terms and Conditions**

2.1. The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.

2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
2.5. The client shall be wholly responsible for all his investment decisions and instruction.
2.6. The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
2.7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
2.8. The client will furnish information to the Participant in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

SLBS Rights and Obligations – BSE/ ICCL
RIGHTS AND OBLIGATION OF CLEARING MEMBER AND CLIENT UNDER SECURITIES LENDING AND BORROWING SCHEME' (SLBS) SEGMENT

(In compliance with Annexure II of ICCL Consolidated Circular updated March 31, 2024)

The Securities and Exchange Board of India (hereinafter referred to as "SEBI") has formulated and issued the Securities Lending Scheme, 1997 (hereinafter referred to as "SEBI Scheme") and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 and SEBI circular no. CIR/MRD/DP/19/2014 dated June 3, 2014 for facilitating lending and borrowing of securities through a Clearing Member registered with SEBI.

OBLIGATION ON CLEARING MEMBER

1. Before entering into an arrangement with a Client under SLBS, The Clearing Member shall inform the Client that it has entered into an agreement with the Clearing Corporation and it has been admitted as Participant of Clearing Corporation to facilitate lending and borrowing of securities.
2. The Clearing Member has made the Client aware of and the Client has understood the precise nature of the Clearing Member's liability under SLBS including any limitations, the liability and the capacity in which the Clearing Member acts.
3. Clearing Member and the Client shall be bound by scheme and circulars issued by SEBI from time to time, scheme/circulars issued by clearing corporation/stock exchange, and/or the Rules, Byelaws, Regulations of the stock exchange and or clearing corporation as applicable and as in force from time to time.
4. Issue of confirmation memo - The Clearing Member shall, upon execution of the Client's transaction on the order matching platform of the Clearing Corporation, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the Clearing Corporation from time to time.
5. Money/ securities to be kept in separate bank/ demat account - The Clearing Member shall keep the money / securities deposited by the Client in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Clearing Member for itself or for any other Clients or for any purpose other than the purposes mentioned in the scheme/circulars issued by SEBI, Rules, Bye-laws and Regulations of clearing corporation/stock exchange, as may be applicable and circulars issued by clearing corporation/stock exchange there under from time to time.
6. Update on settlement process - The Clearing Member shall inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.
7. Compliance with KYC norms - The Clearing Member undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the Clearing Corporation or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; provided however that the Clearing Member may so disclose information about its Client to any person or authority with the express permission of the Client.
8. Return of securities and lending fees to client as a lender - Where the Client is the borrower unless otherwise agreed upon between the Clearing Member and the Client, the Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the Clearing Corporation from time to time. The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral. Notwithstanding any other provisions of the agreement between the Clearing Corporation and Clearing Member, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars issued by SEBI, SLBS and the Circulars issued there under by Clearing Corporation.

   Delivery of securities to client as a borrower - Where the Client is the borrower unless otherwise agreed upon between the Clearing Member and the Client, the Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the Clearing Corporation from time to time. The Client shall be entitled to receive from

the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral. Notwithstanding any other provisions of the agreement between the Clearing Corporation and Clearing Member, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars issued by SEBI, SLBS and the Circulars issued there under by Clearing Corporation.

9. Abide by law & acquaintance to law -
10. The Clearing Member declares that it has brought the contents of the SEBI Scheme, circulars of SEBI, SLBS and the Circulars issued there under from time to time, and the terms and conditions of the agreement between the Clearing Corporation and Clearing Member to the notice of the Client and the Client agrees to comply with and adhere to the same.
11. Processing charges - The Clearing Member agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued there under from time to time.

RIGHT OF CLEARING MEMBER

1. Consideration - The Clearing Member is entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the Clearing Corporation in its circulars from time to time.
2. Margins - The Clearing Member is empowered to call upon the Client to pay such margins as may be specified by the Clearing Corporation from time to time.
3. Recovery - The Clearing Member shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the Clearing Corporation or imposed by the Clearing Corporation on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Clearing Member against the Client's liabilities / obligations.
4. Due Diligence - The Clearing Member shall continuously satisfy itself about the genuineness and financial soundness of the Client and investment objective relevant to the services to be provided.

OBLIGATIONS ON CLIENT

1. Eligibility Criteria - The Client represents that he is eligible to participate in the SLBS and has satisfied the criteria specified by the Clearing Corporation.
2. Update & comply with the settlement process - Notwithstanding anything contained in this document, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the Clearing Corporation.
3. Processing Charges - The Client agrees to pay the Clearing Member, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Clearing Member
4. Change in KYC information - The Client agrees to immediately notify the Clearing Member in writing whenever there is any change of information in the "Know Your Client (KYC) Form" provided by the Client to the Clearing Member, in the manner prescribed by SEBI/clearing corporation/stock exchange.
5. Authorised Representative - The Client agrees to be bound by the instructions issued by its authorized representative, if any, in accordance with the letter authorizing the said representative to deal on its behalf.
6. Return of Securities - The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the Clearing Corporation in the Circulars issued from time to time.
7. Payment of Margins - The Client agrees to pay such margins as may be specified by the Clearing Member in accordance with the requirement of Clearing Corporation or SEBI from time to time.
8. Exposure / Position Limits - The Client agrees to abide by the exposure / position limits, if any, set by the Clearing Member or the Clearing Corporation or Stock Exchange or SEBI from time to time.
9. Securities lent to be unencumbered - The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.
10. Insolvency - The Client agrees to immediately furnish information to the Clearing Member in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

11. Collateral - At the discretion of the Clearing Member, where the Client deposits the required collateral with the Clearing Member, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

RIGHTS OF CLIENT

1. Right of client as lender to receive securities or financial compensation and lending fees - Where the Client is the lender unless otherwise agreed upon between the Clearing Member and the Client, the Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the Clearing Corporation from time to time. The client shall be entitled to receive lender's fees for the securities lent.
2. Reconciliation of account
   The Client and Clearing Member shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.

3. The Client shall satisfy itself of the capability of the Clearing Member and wishes to deal through the Member for lending and borrowing of securities

TERMINATION

The relationship between Client and Clearing Member shall forthwith terminate if the Clearing Member for any reason ceases to be a Clearing Member under the circumstances as prescribed by the Clearing Corporation. Further, either of the parties shall be entitled to terminate the relationship by giving prior written notice of at least one month to other party without assigning any reason. Such termination shall, however, not affect the liabilities/obligations of either party arising out of the transactions under the SLBS entered into prior to the date of the notice of termination.

AMENDMENT

The rights and obligations contained in this document shall not be altered, amended and /or modified by the parties in a manner that shall be in contravention of the provisions of acts, rules, regulations, notices and circulars of Clearing Corporation/ SEBI governing SLBS segment or derogatory to rights and obligations prescribed herein.

ARBITRATION

The Clearing Member and the Client shall co-operate with each other and with the Clearing Corporation in redressing their grievances in respect of transactions under the SLBS. All disputes and differences or questions arising out of or in relation to relationship between the Client and Clearing Member including failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this rights and shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided in accordance with the procedures as prescribed by the SEBI/ Clearing Corporation under the SLBS, the Circulars issued there under or Rules, Bye-laws and Regulations of Clearing Corporation.

GOVERNING LAW AND JURISDICTION

The relationship between Clearing Member and a Client and all difference/ disputes/ claims arising thereto shall be governed by and construed in all respects in accordance with the laws of India. In relation to any legal action or proceedings to which the Clearing Corporation is a party, the parties irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought before an inconvenient forum. In relation to any legal action or proceedings to which Clearing Corporation is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

CANCELLATION OF TRANSACTIONS

Notwithstanding anything contained in the Agreement between Clearing Corporation and Clearing Member or in the Rights and Obligations statement of Clearing Member and the Client, the Clearing Corporation shall be entitled to cancel transactions under the SLBS, either on an application by a Clearing Member or suo moto or under regulatory directions, and in such an event, the transactions done on behalf of the Client

shall ipso facto stand cancelled, and neither the Clearing Corporation nor the Clearing Member shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

DISCONTINUATION OF SLBS AND PARTICIPATION IN SLBS

The Clearing Corporation shall be entitled to discontinue the SLBS or the participation of the Clearing Member in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the Clearing Corporation from time to time. The words and expressions in this document are used for the purpose of convenience only and shall not affect the construction of the terms of this document. Words and expressions which are used in this document, unless the context requires otherwise, have the same meaning as assigned thereto in the rules, bye-laws, regulations, circular, notices issued there under by Clearing Corporation/ SEBI.

SLBS Rights and Obligations – NSE/ NCL

RIGHTS AND OBLIGATIONS DOCUMENT FOR SLBS - NSE

(In compliance with Part-C of Circular Ref. No.: 051/2024 bearing Download Ref. No. NCL/CMPT/61810 dated April 29, 2024)

i. The Securities and Exchange Board of India ("**SEBI**") has formulated and issued the Securities Lending Scheme, 1997 ("**SEBI Scheme**") and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an "Approved Intermediary" registered with SEBI.

ii. NSE Clearing Ltd. is an Approved Intermediary ("**AI**") registered under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI issued from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as "**SLBS**") for facilitating lending and borrowing of securities through persons registered as "Participants".

iii. SEBI, thereafter, vide its Circular No. CIR/NRD/DP/19/2014 dated June 3, 2014 ("**SEBI Circular**") has modified the framework of Securities Lending and Borrowing. Under the said SEBI Circular, AI shall enter into an agreement with its Clearing Member/Participant ("**Agreement**") for the purpose of facilitating Securities Lending and Borrowing and which shall specify the rights, responsibilities and obligations of the AI and the Clearing Member/Participant ("**Participant**"). The said Agreement shall also define the exact role of AI/Participant vis-à-vis the Client of Participant. As per the said SEBI Circular, AI is also required to frame rights and obligations document laying down the rights and obligations of the Participant and its Client for the purpose of Securities Lending and Borrowing. The said rights and obligations document shall be mandatory and binding on the Participant. Accordingly, the AI has framed this rights and obligations document laying down the rights and obligations of Participant as well as of its Client ("**Rights & Obligations Document**").

iv. Securities Lending and Borrowing can be undertaken by the Participant either on their own account or on account of its Client registered with them. Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by submitting duly signed relevant documentation/s to the Participant that it is desirous of participating in the SLBS. The Participant on the receipt of said relevant documentation/s from its Client, shall provide this Rights & Obligations Document to its Client which will be duly acknowledged by the Client of having read, understood and to agreeing to abide by the same prior to the execution of trade in the SLBS. The terms and conditions of this Rights & Obligations Document shall be binding on the Participant as well as on its Client.

v. All the transactions under the SLBS by the Client shall be strictly in accordance with SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement and this Rights & Obligations Document, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation and the terms and conditions of the said Agreement shall prevail over this Rights & Obligations Document. The provisions of this Rights & Obligations Document are in addition thereto and not in

derogation thereof

vi. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant's liability towards the Client under SLBS including any limitations on the liability and the capacity in which the Participant acts.

vii. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the rights and obligations of the Participant as well as its Client shall be hereto as under.

viii. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

RIGHTS OF THE PARTICIPANT

ix. In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.

x. Margins - The Participant is empowered to call upon its Client to pay such margins as may be specified by the AI from time to time.

xi. Recovery - The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities / obligations.

OBLIGATIONS OF THE PARTICIPANT

xii. The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.

xiii. Issue of Confirmation Memo - The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.

xiv. Money / Securities to be kept in separate account - The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation and as in force from time to time.

xv. Update on Settlement Process - The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.

xvi. Compliance with Know Your Client Norms - The Participant undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.

xvii. Reconciliation of Account - The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.

xviii. Return of Securities and Lending Fees - Where the Client is a lender unless otherwise agreed upon between the Participant and the Client -

a) The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

b) The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.

xix. Delivery of Securities - Where Client is a borrower unless otherwise agreed upon between the Participant and the Client – The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

RIGHTS OF THE CLIENT

xx. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client –

a) The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

b) The Client shall be entitled to receive lender's fee for the securities lent.

xxi. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client -

a) The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

b) The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.

xxii. Notwithstanding any other provisions of the said Agreement and this Rights & Obligations Document, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder.

OBLIGATION OF THE CLIENT

xxiii. Abide by Law & Acquaintance to Law - The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the said Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.

xxiv. Update & Comply with the Settlement Process - Notwithstanding anything contained in Clause 15 hereto, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.

xxv. Processing Charges - The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.

xxvi. Change in Client Registration Form - The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the details provided by the Client to the Participant at the time of its registration with the Participant and also as provided in the said relevant documentation/s required for participating in SLBS.

xxvii. Authorised Representative - The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.

xxviii. Return of Securities - The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.

xxix. Payment of Margins - The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.

xxx. Exposure/ Position Limits - The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.

xxxi. Securities lent to be Unencumbered - The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.

xxxii. Collateral - At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

xxxiii. Insolvency - The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

xxxiv. Cancellation of Transactions - Notwithstanding anything contained in the said Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

xxxv. Discontinuation of SLBS and Participation in SLBS - The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

ARBITRATION

xxxvi. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

xxxvii. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

GOVERNING LAW AND JURISDICTION

xxxviii. In relation to any legal action or proceedings to which the AI is a party, the Participant as well as the Client irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

xxxix. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

Please provide us with SLBS facility at BSE/ NSE/ ICCL/ NCL.

BCB BROKERAGE PRIVATE LIMITED
CLIENT RISK MANAGEMENT POLICY
Version 4.0

Background
This Client Risk Management Policy (CRMP) is issued to meet inter alia
- Directions of Securities and Exchange Board of India (SEBI)
- Directions issued by Market Infrastructure Institutions (MIIs)
- Internal good practices.

BCB Brokerage Private Limited (BBPL) is a member of the BSE Limited (BSE) and National Stock Exchange of India Limited (NSE) and is registered with SEBI as a stockbroker with SEBI Registration Number INZ00020063. BBPL is currently active in the Cash Market and the Futures and Options/ Equity Derivatives Segment.

Various clients trade with BBPL. To manage the risk of such trading and to comply inter alia with the requirements of law, the following updated Client Risk Management Policy is being issued for the knowledge and information of the clients, employees, Authorized Persons and other stakeholders of BBPL.

1. Risk Officers
Mr. Uttam Bagri, Managing Director has been designated as the Chief Risk Officer (CRO) of BBPL and Mr. Vimal Chandak, General Manager is designated as the Deputy Chief Risk Officer (DCRO). All decisions relating to risk matters will be taken by CRO/ DCRO. The decision of the DCRO/ CRO for the purpose of Risk Management shall be final in all respects.

2. Limits setting
All of BBPL's clients are required to provide:
- 100% funds before purchasing the securities in cash segment
- Advance early pay-in of securities before selling securities in the cash segment
- 100% margins before trading in the equity derivative segment in 50:50 cash non-cash ratio

and limits will be set accordingly. Orders not fulfilling the above criteria may be rejected on the ground of "not as per CRMP".

However, CRO/ DCRO may at their discretion permit additional trades/ exposure based on the following parameters:
- Where client has given/ executed Power of Attorney/ Demat Debit and Pledge Instruction (POA/DDPI) in favour of BBPL
- Based on the past relationship, trading behavior of the client, the known financial standing and the value of collateral deposited/ lying with BBPL

However, the CRO/ DCRO may not permit any additional exposure which does not meet the regulatory minimum margins norms, as applicable from time to time.

4. Restriction of further exposure on T + 5 days
For any client continuously in debit for more than 5 days, further buying/ exposure would be stopped and only sale/ exposure reduction will be permitted till debit is cleared.

5. Non meeting of settlement obligations
Wherever settlement obligations are not met per the MII deadlines, BBPL will square up the positions/ sell collateral in the market after giving notice the day prior.

CRO/ DCRO may at their discretion give extra time (to the extent permitted by law) to meet the settlement obligations based on request (one time or standing) made by the clients to BBPL/ its dealers/ its Authorized Persons.

In case of account still being in debit post square up the positions/ selling of collateral, notices to be issued and thereafter arbitration will be filed against the clients.

6. Transfer of Securities

In case of securities not fully paid up, the securities will be transferred in the form of Client Unpaid Securities Pledgee Account (CUSPA) pledge to the client demat account. The clients will have an alternate option (where permitted by law) to provide the securities in the form of a Margin Pledge as an alternative to CUSPA pledge.

7. Voluntary freezing / blocking the online access of trading accounts

Per the requirements of SEBI circular ref. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated 12-Jan-2024 and instructions given by the Market Infrastructure Institutions (MIIs) from time to time, the following facility of voluntary freezing/ blocking of online access to trading accounts is issued:

1. Client may send email to the dedicated email ID "stoptrade@bcbbrokerage.com" or send a WhatsApp message on +91 9757042000
2. The trading account online access will be blocked and intimation/ acknowledgment will be issued to the client on their registered email within the regulatory timelines along with information as required by law like confirmation on freezing/blocking, confirmation on cancellation of all the pending orders, details of open positions, if any, along with the contract expiry information
3. To re-enable access, clients would need to contact their CRO/ DCRO either directly or through their dealer/ Authorized Person. On being satisfied, CRO/ DCRO will approve re-enabling online access.

8. Approval

This revised policy has been approved at a meeting of the Directors of BBPL held on 01-July-2024 and is subject to annual review.

For BCB Brokerage Private Limited

Sd/-
(Uttam Bharat Bagri)
Director DIN 01379841
Place: Mumbai
Date: 01-July-2024

CDSL Instructions to the Applicants (BOs) for account opening

(In compliance with Annexure 2.3 of CDSL Operating Instructions for Depository Participants as stipulated under Bye Law 4.2.6 of CDSL Bye Laws)

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.

2. Signatures should be preferably in black ink.

3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.

4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.

5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.

6. All correspondence / queries shall be addressed to the first / sole applicant.

7. Strike off whichever option, in the account opening form, is not applicable.

BCB BROKERAGE PRIVATE LIMITED
TRADING/DEMAT ACCOUNT OPENING KIT

Additional KYC Form for Opening a Demat Account (For Individuals)

(Updated as per CDSL Operating Instructions as on December, 2024)

(To be filled by the Depository Participant)

Application No.	Date	DP Internal Reference No.

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

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

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

Holders Details

Sole / First Holder's Name		PAN	
		UID	**(Last 4 Digits Only)**
UCC		EXCHANGE NAME AND ID	
Second Holder's Name		PAN	
		UID	**(Last 4 Digits Only)**
Third Holder's Name		PAN	
		UID	**(Last 4 Digits Only)**

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

Type of Account (Please tick whichever is applicable)

Status	Sub – Status	
☐ Individuals	☐ Individual Resident	☐ Individual-Director
	☐ Individual Director's Relative	☐ Individual HUF / AOP
	☐ Individual Promoter	☐ Minor
	☐ Individual Margin Trading A/C (MANTRA)	☐ Others (specify) _____
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable
	☐ NRI Repatriable Promoter	☐ NRI Non-Repatriable Promoter
	☐ NRI – Depository Receipts	☐ Others (specify) _____
☐ Foreign National	☐ Foreign National	☐ Foreign National - Depository Receipts
	☐ Others (specify) _____	

Details of Guardian (in case the account holder is minor)

Guardian's Name		PAN	
Relationship with the applicant			

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

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]	☐ Yes ☐ No

Bank Details [Dividend Bank Details]

Bank Code (9-digit MICR code)												
IFS Code (11 character)												
Account number												
Account type	☐ Savings ☐ Current ☐ Others (specify)_____											
Bank Name												
Branch Name												
Bank Branch Address												
City		State		Country		PIN Code						

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

Other Details			
Gross Annual Income Details	Income Range per annum:		
	☐ Up to Rs. 1,00,000 ☐ Rs.5,00,000 to Rs. 10,00,000 ☐ More than Rs.25,00,000	☐ 1,00,000 to Rs.5,00,000 ☐ 10,00,000 to Rs. 25,00,000	
	Net worth as on (Date)		Rs.
	[Net worth should not be older than 1 year]		
Occupation	☐ Private / Public Sector ☐ Professional ☐ Housewife ☐ Others (Specify) _____	☐ Govt. Service ☐ Agriculture ☐ Student	☐ Business ☐ Retired
Please tick , if applicable:	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)		
Any Other Information			

SMS Alert Facility Refer to Terms & Conditions given as **Annexure - 2.4**	Mobile No.	+91												☐ Yes
	[(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).													☐ No
Easi	To register for ***e***asi, please visit our website www.cdslindia.com. ***Easi*** allows a BO to view his ISIN balances, transactions and value of the portfolio online.													☐ Yes ☐ No

Further to SEBI circular ref. CIR/MRD/DP/20/2015 dated December 11, 2015, I/we hereby have noted the "Facility for Basic Services Demat Account (BSDA)" and I/we specifically opt to continue to avail the facility of a regular demat account.	☐ Yes ☐ No

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

☐ **Jointly**	☐ **Anyone of the Holder**

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

☐ First Holder	☐ All Holder	Email ID
	☐ Second Holder	
	☐ Third Holder	

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

	First/Sole Holder	**Second Holder**	**Third Holder**
Name			
Designation			
Signature(s)			
Place:			
Date:			

Additional KYC Form for Opening a Demat Account (For Non-individuals)

(Updated as per CDSL Operating Instructions as on December, 2024)

DP ID: 12010400
(To be filled by the Depository Participant)

Application No.	Date	DP Internal Reference No.

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

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

Holders Details

Sole / First Holder's Name		PAN	
Search Name			
UCC		Exchange Name & ID	
Second Holder's Name		PAN	
		UID	
Third Holder's Name		PAN	
		UID	

***Exchange ID**

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

Type of Account (Please tick whichever is applicable)

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

SEBI Registration No. (If Applicable)		SEBI Registration date	
RBI Registration No. (If Applicable)		RBI Approval date	
Nationality	☐ Indian ☐ Others (Specify)		

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be `Yes')	[Automatic Credit] ☐ Yes ☐ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	☐ Yes ☐ No

Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be Physical)	☐ Physical ☐ Electronic ☐ Both Physical & Electronic

Clearing Member Details (To be filled by CMs only)

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

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

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)							
IFS Code (11 character)							
Account number							
Account type	☐ Savings ☐ Current ☐ Others (specify)_____						
Bank Name							
Branch Name							
Bank Branch Address							
City		State		Country		PIN Code	

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

Other Details			
Gross Annual Income Details	Income Range per annum:		
	☐ Up to Rs. 1,00,000 ☐ Rs.5,00,000 to Rs. 10,00,000 ☐ Rs.25,00,000 to Rs. 1,00,00,000	☐ 1,00,000 to Rs.5,00,000 ☐ 10,00,000 to Rs. 25,00,000 ☐ More than Rs.1,00,00,000	
	Net worth as on (Date)		Rs.
	[Net worth should not be older than 1 year]		
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP). ☐ Provide details as per Annexure 2.2 A.			
Any other information			

SMS Alert Facility Refer to Terms & Conditions given as **Annexure - 2.4**	Mobile No. +91		☐ Yes ☐ No
	[(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).		
Easi	To register for ***e***asi, please visit our website www.cdslindia.com. ***Easi*** allows a BO to view his ISIN balances, transactions and value of the portfolio online.		☐ Yes ☐ 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.

	Sole / First Authorised Signatory	**Second Authorised Signatory**	**Third Authorised Signatory**
Name			
Designation			
Signature			

(In case of more authorised signatories, please add annexure)

(Signatures should be preferably in black ink).

Rights and Obligations of Beneficial Owner and Depository Participant asprescribed by SEBI and Depositories

(Updated as per CDSL Operating Instructions as on June, 2025)

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant..

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

26. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

27. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

28. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Byelaws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
32. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

	First/Sole Holder	**Second Holder**	**Third Holder**
Name			
Signature			

BCB BROKERAGE PRIVATE LIMITED
TRADING/DEMAT ACCOUNT OPENING KIT

CDSL DP ID - 12010400
Schedule of Charges w. e. f. April 1, 2018

Refundable Deposit	Rs.1,000/-
Account Maintenance	• BSDA AMC Charges (Holding Value upto Rs. 4 lac) – Nil • BSDA AMC Charges (Holding Value 4 Lac to 10 Lac) – Rs. 100/- • For Individuals A/c (Holding Value More than Rs. 10 Lac) - Rs.400/- p.a. • For Non-individuals A/c – Rs. 300/- p.a.*
Demat	Rs.5/- per certificate (Min. Rs.30/-)
Remat	0.03% (min Rs.100/-)
Debit Transaction to empanelled Clearing Members (BCB Brokerage and Dilip C Bagri) Pool accounts transferred for pay-in obligations using POA of DP/ CM	0.01% (min Rs.10/-)*
Debit Transaction through internet using CDSL Easiest facility	0.01% (min Rs.10/-)*
Debit transactions using physical instruction slips where target account is with DP BCB Brokerage Private Limited	0.02% (min Rs.20/-)*
All other debit transactions using physical instruction slips	0.05% (min Rs.100/-)*
All Pledge Transactions	0.03% (min Rs.50/-)
Lost DIS charges	Rs.20/- per DIS slip (max Rs. 200/- per booklet)
Interest on delayed payment	13% p.a. (subject to any regulatory caps)

Other charges recovered at actuals
- Power of Attorney Stamp Duty (Maharashtra – Rs. 500/-)
- CDSL charges
- Goods and Service Tax

	Sole / First Holder or Guardian (in case of Minor)	**Second Holder**	**Third Holder**
Name			
Signature(s)	√	√	√

Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits]
(Updated as per CDSL Operating Instructions as on December, 2024)

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at Unit No. A-2501, Marathon Futurex, Mafatlal Mills Compound, N.M. Joshi Marg, Lower Parel (E) Mumbai - 400013 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability

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

Receiving Alerts

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off'' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees

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

Disclaimer

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

Liability and Indemnity

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

Amendments

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

Governing Law and Jurisdiction

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

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

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

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

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

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

DP ID	1	2	0	1	0	4	0		Client ID								

Sole / First Holder's Name	
Second Holder's Name	
Third Holder's Name	

Mobile Number on which messages are to be sent	+91										
	(Please write only the mobile number without prefixing country code or zero)										
The mobile number is registered in the name of											
Email ID											
	(Please write only ONE valid email ID on which communication; if any, is to be sent)										

Signatures

Sole / First Holder	Second holder	Third Holder

Place:			Date:	

Declaration Form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

Date: _____

To
BCB Brokerage Private Limited
1207/A P J Towers, Dalal Street,
Fort, Mumbai 400 001

UCC/DP ID	
Client ID (only for Demat account)	
Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

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

[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form]

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

Note: Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]
(To be filled in by individual applying singly or jointly)

Dated	

❑ I/We nominate the following person/s who is entitled to receive all Assets / security balances lying in my/our account, particulars whereof are given below, in the event of the death of te Sole holder or the death of all the Joint Holders.

BO Account Details

UCC	
DP ID	
Client ID (only for Demat account)	
Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

Nomination Details

❑ I/We **nominate** the following person**s** 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 Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name			
First Name *			
Middle Name			
Last Name *			
Percentage of allocation of securities * ❑ Equally *(if not equally, please specify percentage)* OR ❑ Share of each nominee	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form			
Nomination Identification Details – *[Please tick any one of following and provide details of same]*	Nominee 1	Nominee 2	Nominee 3
❑ Photograph &Signature ❑ PAN ❑ Aadhar ❑ Saving Bank account no. ❑ Proof of Identity ❑ Demat Account ID			
[Optional Fields]			
Address *			
City *			
State *			
PIN *			
Country *			

Mobile no/Telephone No. *[Optional Fields]*			
Email ID: *[Optional Fields]*			
FAX No. *[Optional Fields]*			
Relationship with the BO*			
To be filled only if nominee(s) is a minor:			
Date of birth (mandatory if Nominee is a minor) dd/mm/yyyy			
Name of the Guardian of Nominee (if nominee is a minor)			
First Name *			
Middle Name			
Last Name *			
Address of the guardian of nominee *			
City *			
State *			
PIN *			
Country *			
Age			
Mobile no/Telephone No. *[Optional Fields]*			
Email ID: *[Optional Fields]*			
FAX No. *[Optional Fields]*			
Relationship of the Guardian with the Nominee *			
Guardian Identification details – *[Please tick any one of following and provide details ofsame]*			
☐ Photograph &Signature ☐ PAN ☐ Aadhar ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID			
[Optional Fields]			

Note: *Residual securities: in case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee.*

*** Marked is Mandatory field**

***Note**: Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination /negative nomination.*

Details of the Witness	
	Witness Details
Name of witness	
Address of witness	
Signature of witness	

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

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

(Signatures should be preferably in blue ink).

The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

(To be filled by DP)

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

For BCB Brokerage Private Limited

(Authorised Signatory)

Demat Debit and Pledge Instruction – VOLUNTARY

(In compliance with SEBI circular SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022 and SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/137 dated October 06, 2022 as amended)

These additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document. Any such clause introduced shall stand null and void if they dilute the responsibility of the stock broker or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the stock exchanges from time to time.

To,
BCB Brokerage Private Limited
1207/A P J Towers, Dalal Street, Fort, Mumbai 400 001 - bbplmumbai@bcbbrokerage.com

BO Account Number			
	Signature(s) BO 1	**Signature(s) BO 2 (if any)**	**Signature(s) BO 3 (if any)**
1. Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/ settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stockbroker	->	->	->
2. Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange	->	->	->
3. Mutual Fund transactions being executed on Stock Exchange order entry platforms	->	->	->
4. Tendering shares in open offers through Stock Exchange platforms	->	->	->
BO Name			

Place:

Date:

Annexure - Recipient account/s

(In compliance with CDSL Communiqué ref. CDSL/OPS/DP/SYSTM/2022/332 dated June 14, 2022 as amended)

(Latest updated list available on website of BCB Brokerage Private Limited www.bcbbrokerage.com)

1. 12010400 00000256 – CDSL Pool A/c
2. 12010400 00013717 – CDSL Pool A/c
3. 12010400 00055686 – CDSL Client Securities Margin Pledge A/c
4. 12010400 00056204 – CDSL Client Securities Margin Funding A/c
5. 12010400 00056219 – CDSL Client Securities Margin Pledge A/c
6. IN300652 10326058 – NSDL Pool A/c (CM BP ID IN657545)
7. IN300652 10326066 – NSDL Pool A/c (CM BP ID IN657971)
8. IN300652 10326520 – NSDL Client Securities Margin Pledge A/c
9. 11000010 00012526 – CDSL Early Pay-In A/c (BSE)
10. 11000010 00022260 – CDSL Early Pay-In A/c (NSE)

(Signed, sealed and delivered By the within named beneficial Owner/s)	For HUF (Name of Co-parceners)	Signature of Co-parceners
BO1 X BO2 X BO3 X	1. 2. 3. 4.	

We Accept
For **BCB Brokerage Private Limited**

(Director/Authorised Signatory)

LETTER FOR NOTING/ OPERATIONS

These additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document. Any such clause introduced shall stand null and void if they dilute the responsibility of the stock broker or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the stock exchanges from time to time.

1. I/we have noted that you trade in your OWN/ PRO account

2. I/we have noted and are aware that you do not deal in cash, and all payment mate to you or received from you would be in the form of electronic funds transfer or account payee cheques to and from your account

3. I/we have also noted your website www.bcbbrokerage.com and the same contains, inter alia
   a. Investor grievance email ID
   b. Various policies including Policy for dealings with clients, Policy for dormant accounts, Risk Management Policy and other policies and procedures of your organization relevant to us
   c. Literature on Anti Money Laundering requirements
   d. Trading/settlement cycles, delivery/payment schedules, any changes therein from time to time
   e. Relevant contact details of SEBI and the Exchanges of which you are members
   f. Name and address of Clearing Member of various segments through which you clear your trades, if any
   g. Other information that a trading member is required to furnish to his clients
   h. Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology

4. As regards securities trading through wireless technology/internet/smart order routing, I/we have noted
   a. That you provide the above trading facilities through the BSE and FOW/BOW/ BEST facilities
   b. That we are aware of the Password policy for Internet Based Trading (IBT) as stipulated in line with norms prescribed by Exchanges/SEBI, and the feature of the IBT system that it itself generates the initial password.

Place:
Date:
(Not be signed by Power of Attorney holder)

LETTER FOR OPERATIONS OF ACCOUNT – ALL EXCHANGES - VOLUNTARY

These additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document. Any such clause introduced shall stand null and void if they dilute the responsibility of the stock broker or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the stock exchanges from time to time

To,
BCB Brokerage Private Limited
1207/A P J Towers, Dalal Street,
Fort, Mumbai 400 001
www.bcbbrokerage.com

Sir(s),
Re: Letter for operations of account (Kindly cross out the points not acceptable/ applicable)

For the smooth operations of my/our broking account, kindly note my/our following instructions:

1. In the course of business, I/we may deal in various segments/ sub-segments (cash, capital markets, derivatives, futures and options, currency, interest rate futures, mutual funds, securities lending borrowing, margin trading, etc) of various exchanges (BSE/ NSE) that you are members for which you keep may separate accounts/ledgers. We authorize you to adjust the debit/ credits in my account across such segments/ exchanges subject to any restrictions that may be imposed by Exchanges/ SEBI from time to time
2. My/our dues for demat bills with your DP may be recovered to my trading account subject to any restrictions that may be imposed by Exchanges/ SEBI from time to time
3. I/we am/are desirous of maintaining our account as a running account subject to terms and conditions as imposed by SEBI vide circular No. MIRSD/SE/Cir-19/2009 dated December 3, 2009 (modified by circular SEBI/ MIRSD /Cir/ 01/ 2011 dated May 13, 2011) as amended and other restrictions placed by the Exchanges from time to time. I/we understand and are aware that we can revoke this running account authorization at any time.
4. The account will be settled quarterly/monthly (kindly select)
5. I/we hereby consent for receiving digitally signed electronic communication including but not restricted to contract notes, statements of funds/ securities, margin positions, etc. via email on our email ID per your records as provided under the Information Technology Act, 2000 as amended from time to time

Place
Date
(Not be signed by Power of Attorney holder)

AUTHORIZED SIGNATORY INTIMATION– ALL EXCHANGES - VOLUNTARY

These additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document. Any such clause introduced shall stand null and void if they dilute the responsibility of the stock broker or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the stock exchanges from time to time.

To,
BCB Brokerage Private Limited
1207/A P J Towers, Dalal Street,
Fort, Mumbai 400 001
www.bcbbrokerage.com

The following is the list of authorized signatories to represent us, their authority including but restricted to:

- Placing/ modifying/ cancelling orders on our behalf, etc.
- Acknowledging contract notes/ other communication issued by you to me/us, etc.
- Communicating changes in our KYC details, etc.
- Confirmation of account, etc.

Name of the signatory and PAN	Signature	Relation with Applicant

Place:
Date:
(Not be signed by Power of Attorney holder)

BCB BROKERAGE PRIVATE LIMITED
TRADING/DEMAT ACCOUNT OPENING KIT

Acknowledgement Receipt
Application No
Date

We hereby acknowledge the receipt of (kindly tick)
1. Trading Account Opening Application Form along with nomination/ no-nomination request
2. Demat Account Opening Application Form along with nomination/ no-nomination request

For BCB Brokerage Private Limited

Seal and Signature

CONFIRMATION OF RECEIPT OF EXECUTED DOCUMENTS

To
BCB Brokerage Private Limited.
1207/A P J Towers, Dalal Street,
Fort, Mumbai 400 001
www.bcbbrokerage.com

We refer to our request to open trading/ demat account with your goodselves.

I/we hereby confirm that we have received (kindly strike off what is not applicable)
1. A copy of the Account Opening Form for trading/ demat
2. Copies of all the documents signed by us
3. Copy of Rights and Obligations Document for stock broking/ demat account/ Margin Trading
4. Copy of Risk Disclosure Document and Guidance note Document detailing do's and don'ts for trading on exchange
5. Copy of policies and Procedures Document of BCB Brokerage Private Limited
6. Copy of Tariff sheet for demat as well as broking
7. Copy of the Power of Attorney given to you for operating demat account

Thank you

Sign
Name

To
BCB Brokerage Private Limited.
1207/A P J Towers, Dalal Street,
Fort, Mumbai 400 001
www.bcbbrokerage.com

DECLARATION OF DETAILS OF MEMBERS OF HUF
(For opening Trading /Demat account)

Kindly take the following declaration on your record

Name of the HUF	
PAN Number of the HUF	
Name of the Karta	
PAN number of Karta	
Details of members of the HUF	

Sr. No	Name of the Member	Date of Birth	Relationship with Karta	Sex (Male/Female)	Signature (not required in case of minor)
1					
2					
3					
4					
5					
6					
7					
8					

|√_____|
Signature of Karta with Stamp
Place
Date

MODEL RESOLUTION FOR COMPANIES

(format to be suitably modified without any change in the substantive clauses – please print on letterhead)

CERTIFIED TRUE COPY OF AN EXTRACT FROM THE MINUTES OF A MEETING OF THE BOARD OF DIRECTORS OF _____ DULY CONVENED AT WHICH PROPER QUORUM WAS PRESENT, HELD AT THE _____OFFICE OF AT _____ON ___DATE AT __TIME

"RESOLVED that the following accounts in the name of the Company be opened:

1. Securities trading account with BCB Brokerage Private Limited for trading in all segment and all exchanges where the BCB Brokerage Private Limited is member;
2. Demat account with the BCB Brokerage Private Limited Depository Participant with Central Depository Services (India) Limited (DP ID – 10400)

RESOLVED FURTHER that the following Director be and is hereby authorized to open and operate the said trading/ demat account(s)-

Name of Director / Auth. Signatory	**Designation**	**PAN**	**Specimen Signature with stamp**

RESOLVED FURTHER that a Demat Debit and Pledge Instruction (DDPI) be given to BCB Brokerage Private Limited for operating the said demat account on behalf of the Company.

RESOLVED FURTHER that copy of the resolution certified as true be provided to BCB Brokerage Private Limited or anyone concern in the matter."

Certified true copy
For _____

Name of 1st Director
DIN
Director

Name of 2nd Director
DIN
Director

Place :
Date :

Draft

S E L F D E C L A R A T I O N

(To be given by Female Karta)

I …….. daughter/wife of ……. Residing at …….

Aged…….. Adult having PAN..... do hereby solemnly and sincerely declare

that I am eligible and entitled to act as Karta of .....HUF pursuant to the

amendment provisions vide Hindu Succession (Amendment) Act, 2005.

Dated at Mumbai this …….day of ……