



Registration Date : \_\_\_\_\_

Mr. / Mrs. / M/s. : \_\_\_\_\_

Client Code (UCC) : \_\_\_\_\_ DP ID 

I	N	3	0	4	5	4	3
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 Client ID 

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PAN No. : \_\_\_\_\_ Mobile No. \_\_\_\_\_

Email ID: : \_\_\_\_\_

Authorised Person : \_\_\_\_\_

**GRETEX SHARE BROKING LIMITED**  
 (Formerly Known as Gretex Share Broking Private Limited)  
**INDIVIDUAL**  
**CLIENT REGISTRATION FORM**

## REGISTRATION DETAILS

<b>DP Form Name : GRETEX SHARE BROKING LIMITED</b> <small>(Formerly Known as Gretex Share Broking Private Limited)</small> <b>CIN Number: U65900MH2010PLC289361</b> <b>DP: NSDL, DP ID: IN304543</b> <b>SEBI DP Registration Number: IN-DP-699-2022</b> <b>BSE Registration : BSE Member : 6176</b> <b>NSE Registration : NSE Member : 90287</b> <b>SEBI Registration : INZ000166934</b> <b>AMFI Registration : ARN - 290324</b>	<b>Registered Office</b> A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg, Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013. Email : support@gretexbroking.com • Website : www.gretexbroking.com • Telephone Number: 022-6930 8500
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For any grievance/dispute please contact Gretex Share Broking Ltd. (GSBL) at the given registered address or following officer

Designation	Name	Telephone	EMAIL ID
Managing Director	Mr Arvind Harlalka	+91-98300 25765	arvind@gretexgroup.com
Joint Managing Director	Mr Alok Harlalka	+91-98300 88638	alok@gretexgroup.com
Whole Time Director / CFO	Mr. Deepak Shah	+91-99679 89777	deepak.shah@gretexbroking.com
Company Secretary	Mrs. Karishma Shaw	+91-9681276534	karishma@gretexbroking.com
Compliance Officer	Mr. Premkumar Hari Krishnan	022-6930 8513/14	compliance@gretexbroking.com
Grievances/Dispute/	Mr. Premkumar Hari Krishnan	022-6930 8513/14	investor.grievances@gretexbroking.com

In case not satisfied with the response, please contact the exchange

**NSE** at [ignse@nse.co.in](mailto:ignse@nse.co.in) and Phone No.: 022-26598190 Fax No.:022-26598191

**BSE** at: [is@bseindia.com](mailto:is@bseindia.com), Phone No.: 022-22728097 Fax No.:022-22723677

**NSDL** at: [relations@nsdl.com](mailto:relations@nsdl.com), Phone No: 022-48867000

## 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.

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
  - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ AP office.
  - In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- Kindly update your particulars like Communication / Residential Address, Email ID, Mobile No., Financial Details (ITR , Networth) (if any) to the stock broker and depository participant in a timely manner.**

### Instructions to the Applicants (BOs) for account opening:

- 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.
- Signatures should be preferably in black ink.
- 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.
- In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- 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.
- All correspondence / queries shall be addressed to the first / sole applicant.
- Strike off whichever option, in the account opening form, is not applicable.





**GRETEX SHARE BROKING LIMITED**  
(Formerly Known as Gretex Share Broking Private Limited)

**Dear Investor ,**

We thank you for your keen interest in opening a trading and demat account with us. We look forward to serve you to your utmost satisfaction. This KYC Form is designed to make your account opening formalities easier.

We have attached a checklist at the beginning of the KYC Form and request you to verify, prior to handing over the KYC Form that all the document & signatures are in order. We would be able to process your account – opening request faster if the documentation is complete all respects, hence please take immense care to complete all the account opening formalities and documentation.

Further the small booklet confirms to all the Rights & Obligation of Stock Broker and Clients / Internet & Wireless Technology Based Trading Facility / Risk Disclosure Document (RDD) / Guidance–DO's and DON'T's / Rights & Obligation of Beneficial Owner and Depository Participant / Policies and Procedures of Trading Member laid down by SEBI.

However should you requires any clarification / assistance at any stage of the account opening, please feel free to contact your Relationship Executive / Branch or our customer care or mail us at **support@gretexbroking.com**

**Dear Client please be informed that your broker Gretex Share Broking Ltd does Pro-Trading.**

We once again thank you for selecting us as your preferred service provide to all your Equity Market Requirement.

Thanking you

**Gretex Team**



**GRETEX SHARE BROKING LIMITED**  
(Formerly Known as Gretex Share Broking Private Limited)

**Application No.**

**Acknowledgement Slip**

**Date :     /     / 202**

We hereby acknowledge the receipt of Trading and Demat Account Opening Application Form :

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

Cheque No.: \_\_\_\_\_ Drawn on : \_\_\_\_\_ Amount: \_\_\_\_\_

Product : \_\_\_\_\_ Employee Name : \_\_\_\_\_

Branch Name : \_\_\_\_\_ Employee Sign & Date \_\_\_\_\_

For all queries, please call (022) 69308500

**E-mail :** support@gretexbroking.com

**For Gretex Share Broking Ltd.**

**Note :** please issue cheque in favour of GSBL and can do the fund transfer in respective bank accounts of GSBL Details of which is as follows or we can provide link of website <https://gretexbroking.com/> where bank details are their

(Authorised Signatory)

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2	KYC (ACCOUNT OPENING FORM)	C KYC & INDIVIDUAL KYC	7	8
		INSTRUCTION/GUIDELINES for filling Individual KYC application form	9	10
		KYC Form - Document captures the basic information about the Constituent	11	12
3	Tariff Sheet	Document detailing the rate/amount of the brokerage and other charges levied on the client for trading on the stock exchange (s) & Pro Trading Declaration	13	14
4	Rights & Obligations	Documents stating the rights & Obligation of stock broker/trading member/ and client for the trading on exchanges including additional rights & obligation in case of Internet/Wireless technology based trading Provided as a separate booklet to be retained by the client	15	19
5	Risk disclosure Document (RDD)	Document detailing risks associated with dealing in securities market	20	22
6	Guidance Note	Document detailing DO's and DON'T's for trading on exchange, for the education of the investors.	23	24
7	Rights & Obligations (DP)	Document stating the Rights & Obligation of Beneficial Owner (BO) and Depository Participant (DP)	25	26
8	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	27	30
9	Policy	Policy For Handling Good Till Date Orders	31	32
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER ( PART II )</b>				
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14	Verbal Order Acceptance	Authorization by the client for verbal order acceptance to the trading member	36	36
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16	DDPI	Revocable DDPI by the client in favour of Stock Broker	37	38
17	Demat Account Opening Form	Additional form for opening demat account of Individual with Nomination form along with demat charges	39	45
18	DIS	Declaration for opting of DIS book - voluntary	46	46
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21	Declaration	Declaration for Common Email ID and Mobile Number in family account	50	50
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SEBI has mandated wide circular number SEBI/MRD/SE/CIR-33/2003/27/08 dated august 27, 2003 regarding mode of payment and delivery by which no payment is to be collected in cash by Stock Broker.



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## INSTRUCTIONS / CHECKLIST FOR FILLING KYC FORM

### A. Important points

1. Self attested copy of PAN card is mandatory for all clients, including whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
9. 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.
10. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card / document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA)

List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

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

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

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

### E. List of people authorized to attest the documents

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

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

Copy of ITR Acknowledgment	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.	

### G. 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.

### H. Demat master or recent holding statement issued by DP bearing name of the client.

#### For Individuals:

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock A.P 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.

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

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

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

(\*Documents having an expiry date should be valid on the date of submission.)

1. Passport / Voters Identity Card/Ration Card/Registered lease or Sale Agreement of Residence/Driving License/ Flat

Maintenance bill/Insurance Copy.

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

### D. Exemptions/clarifications to PAN

(Sufficient documentary evidence in support of such claims to be collected.)

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

### E. List of people authorised to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial / Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorised 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.



# CKYC & KYC KRA FORM

## Know Your Client

### Application Form (For Individuals only)

(Please fill the form in English and in BLOCK Letters)  
Fields marked with "\*" are mandatory fields



## Gretex Share Broking Ltd.

(Formerly Known as Gretex Share Broking Private Limited)

A-401, Floor 4th, Plot FP-616, (PT),  
Naman Midtown, Senapati Bapat Marg,  
Near Indiabulls, S. V. S. Marg,  
Dadar (W), Mumbai - 400013.

Application Type\*

☐ New

☐ Update KYC Number\*

KYC Type\* ☐ Normal (PAN is mandatory)

☐ PAN Exempt Investors (Refer instruction K)

### 1. Identity Details (Please refer instruction A at the end)

PAN

Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof)

Maiden Name (if any\*)

Father / Spouse Name\*

Mother Name\*

Date of Birth\*

Gender\* ☐ M- Male ☐ F- Female ☐ T-Trans gender

Marital Status\* ☐ Married ☐ Unmarried ☐ Others

Citizenship\* ☐ IN- Indian ☐ Others – Country  Country Code

Residential Status\* ☐ Resident Individual ☐ Non Resident Indian

☐ Foreign National ☐ Person of Indian Origin

Occupation Type\* ☐ S-Service ☐ Private Sector ☐ Public Sector ☐ Government Sector

☐ O-Others ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student

☐ B-Business ☐ X-Not Categorised

Photo



Signature/  
Thumb Impression

(1)

### 2. Proof of Identity (PoI)\* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

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

☐ A- Passport Number

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence

☐ E- Aadhaar Card

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government)

☐ S- Simplified Measures Account - Document Type Code

Passport Expiry Date

Driving Licence Expiry Date

Identification Number

Identification Number

### 3. Proof of Address (PoA)\*

#### 3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

#### Address

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Zip / Post Code\*

State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT\*

Country\*

Country Code  as per ISO 3166

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

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

#### Proof of Address\*

☐ Passport Number

☐ Voter ID Card

☐ Driving Licence

☐ Aadhaar Card

☐ NREGA Job Card

Passport Expiry Date

Driving Licence Expiry Date

☐ Others (any document notified by the central government)  Identification Number

#### 3.2 Correspondence / Local Address Details\* (Please see instruction E at the end)

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Zip / Post Code\*

State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT\*

Country\*

Country Code  as per ISO 3166

**4. Contact Details** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Email ID

Mobile  Tel. (Off)  Tel. (Res)

**5. FATCA/CRS Information PART I** (Tick if Applicable) ☐ Residence for Tax Purposes in Jurisdiction(s) Outside India (Please refer instruction B at the end)

Additional Details Required\* (Mandatory only if above option (5) is ticked)

Is your Country of Tax Residency other than India ☐ YES ☐ NO (If yes please specify the details of all countries where you hold the tax residency.)Country of Jurisdiction of Residence\*  Country Code of Jurisdiction of Residence  as per ISO 3166Tax Identification Number or equivalent (If issued by jurisdiction)\* TIN issued country Place / City of Birth\* Country of Birth\* Country Code  as per ISO 3166US Citizen ☐ YES OR ☐ NO

Address

Line 1\* Line 2 Line 3  City / Town / Village\* District\*  Zip / Post Code\*  State/UT Code  as per Indian Motor Vehicle Act, 1988State/UT\*  Country\*  Country Code  as per ISO 3166**6. Details of Related Person** (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')☐ Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available\*) Related Person Type\* ☐ Guardian of Minor ☐ Assignee ☐ Authorized RepresentativeName\* 

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

☐ Proof of Identity [Pol] of Related Person\* (Please see instruction (H) at the end)

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

☐ A- Passport Number Passport Expiry Date ☐ B- Voter ID Card ☐ C- PAN Card ☐ D- Driving Licence Driving Licence Expiry Date ☐ E- Aadhaar Card ☐ F- NREGA Job Card ☐ Z- Others (any document notified by the central government) Identification Number ☐ S- Simplified Measures Account - Document Type Code Identification Number **7. Remarks (If any)****8. Applicant Declaration****CKYC Declaration**


I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications / directions issued by any governmental or statutory authority from time to time.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number / email address.

**FATCA Declaration**

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may be liable for it. I hereby authorize Gretex to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Gretex and its group companies ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/ or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I/We authorize Gretex to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same

[Signature / Thumb Impression]

Date:  Place: (2)  Signature / Thumb Impression of Applicant**9. Attestation / For Office Use Only**Documents Received ☐ Certified Copies**In-Person Verification (IPV) & KYC Verification Carried Out by** (Refer Instruction J&I)Date Emp. Name Emp. Code Emp. Designation 

[Employee Signature]

Name Code 

[Institution Stamp]

## Instructions/Guidelines for filling Individual KYC Application Form

### General Instructions:

- Self-Certification of documents is mandatory
- KYC number of applicant is mandatory for update/change of KYC details
- For particular section update, please tick (✓) in the available before the section number and strike off the sections not required to be updated
- Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case of the original of any document is not produced for verification, then the copies should be properly attested by the entities authorized for attesting for documents, as per the list mentioned under [I]
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence and permanent addresses are different, then proof for both have to be submitted
- Sole proprietor must take the application in his Individual name & capacity
- For non-individual and foreign nationals (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- In case of Merchant navy NRI's, Mariners declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted
- 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy is mandatorily to be given.
- Politically Exposed Persons (PEP) are defined as individual who are or have been entrusted with prominent public functions in a foreign country. e.g. Heads of the states or of Governments senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials etc.

### A. Clarification / Guidelines on filling 'Identity Details' section

- Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected. 2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

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

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

### C. Clarification / Guidelines on filling 'Proof of Identity [Pol]' section, if PAN Card copy is not enclosed/ For PAN exempt Investors

- Pan card with photograph. This is a mandatory requirement for all applicant except those who are specifically exempt from obtaining PAN
- Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card/ Driving license
- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z' - Others (any document notified by the central government) is ticked.
- 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.
- Letter issued by a gazetted officer, with a duly attested photograph of the person.

### D. Clarification / Guidelines on filling 'Proof of Address [PoA] section

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for overseas addresses.
- Passport/Voters Identity Card/Ration Card/ Registered lease or sale Agreement of residence / Driving License/ Flat Maintenance bill/ Insurance Copy
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts
- Proof of address issued by any of the following: Bank Managers of scheduled Commercial Banks/Scheduled Co-Operative Bank /Multinational Foreign Banks/Gazetted Officer/Notary public /Elected representatives to the Legislative Assembly/Parliament/Document issued by the Govt. or statutory Authority
- For FII/ sub account, Power of Attorney given by FII/sub-account to the custodians (which are duly notarized and/or apostilled or consularised) that given registered address should be taken
- The proof of address in the name of spouse may be accepted.
- Others includes - 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; and Credit cards/Debit cards issued by Banks.
- In case of Simplified Measures Accounts for verifying the address of the applicant any one of the following documents can also be submitted and underlined relevant code may be mentioned in pt 4.1

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (Electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Municipal Tax Receipt of the Property.
03	Bank account or post office savings bank accounts statement
04	Pension or family pension payment orders (PPOs) issued to retired employees by government Departments or Public Sector undertakings, if they contain the address
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation
06	Documents issued by government departments of foreign jurisdictions and letter issued by foreign Embassy or Mission in India

### E. Clarification / Guidelines on filling 'Proof of Address [POA] - Correspondence / Local Address Details' section

- To be filled only in case the PoA is not the local address where the customer is currently residing. No separate PoA is required to be submitted.
- In case of multiple correspondence / Local addresses, Please fill Annexure A1
- Others includes - Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, 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; 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; and Credit cards/Debit cards issued by Banks.

### F. Clarification / Guidelines on filling 'Contact details' section.

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

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

- Provide KYC number of related person if available.

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

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

### I. List of people authorized to attest the documents after verification with the originals:

- Authorized officials of Asset Management Companies (AMC).
- Authorized officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
- KYD compliant mutual fund distributors.
- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- 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.
- Government authorized officials who are empowered to issue Apostille Certificates.



**J. List of people authorized to perform In Person Verification (IPV):**

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
5. In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.

**K. PAN Exempt Investor Category**

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.

**List of Two-Digit state / U.T Codes as per Indian Motor Vehicle Act, 1988**

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

**List of ISO 3166 Two-Digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curaçao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

## CONSTITUENT PROFILE

### (A). BANK ACCOUNT DETAILS (THOROUGH WHICH TRANSITIONS WILL GENERALLY BE ROUTED)

1. BANK NAME   
  
  
ACCOUNT NO :   
BRANCH :   
ADDRESS:   
 PIN CODE:   
9DIGIT MICR CODE:   
IFSC CODE:   
ACCOUNT TYPE: ☐ SAVINGS ☐ CURRENT ☐ NRI  
☐ NRE ☐ NRO ☐ OTHERS: \_\_\_\_\_

2. BANK NAME   
  
  
ACCOUNT NO :   
BRANCH :   
ADDRESS:   
 PIN CODE:   
9DIGIT MICR CODE:   
IFSC CODE:   
ACCOUNT TYPE: ☐ SAVINGS ☐ CURRENT ☐ NRI  
☐ NRE ☐ NRO ☐ OTHERS: \_\_\_\_\_

**For Demat Operations only one Bank Account is acceptable hence please fill in bank details for DP Operation in 1 above only and also fill the same details on Page No. 25**

### (B). DEPOSITORY ACCOUNT DETAILS

	DP Name	DP ID								BENEFICIARY ID								DEFAULT ID
1.	Gretex Share Broking Ltd.	I	N	3	0	4	5	4	3									<input type="checkbox"/>
2.																		<input type="checkbox"/>
3.																		<input type="checkbox"/>

### (C). NRI (Applicable for NRI/FN Clients only):

RBI Ref. No.   
RBI Approval Date  /  /

\*Please attach copy of permission for dealing in Securities from Authorised Dealer (Bank) /RBI Approval.

### (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 AUTHORIZED PERSON AND OTHER STOCK BROKERS

- If client is dealing through the AP, provide the following details:

AP/other broker's Name: .....

AP Registration No.: .....

Registered office address: .....

Ph: ..... Fax: ..... Website: .....

- Whether dealing with any other stock broker/AP (if case dealing with multiple stock brokers/AP, provide details of all)

Name of stock broker .....

Client Code:..... Exchange: .....

Details of disputes/dues pending from/to such AP: .....

### (F). Account Settlement (as per SEBI requirement) once a quarter ☐ once a month ☐

Whether you wish to receive trade confirmation, holding and transaction statement margin call, passwords and contract note through Email / SMS ☐ Yes ☐ No If yes (E-mail ID and Mobile No. mentioned in KRA will be used)

Please Tick (✓) SMS Services: By GSBL & Exchanges

**(G) . INCOME AND OTHER DETAILS (Mandatory)**

1. Gross Annual Income Details (Please tick (✓) :

☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs - 1 Crore ☐ >1 Crore2. Net-worth in ₹. (\*Net worth should not be older than 1 year) as on (date)  /  / 

3. Occupation (Please tick (✓) any one and give brief details):

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify) \_\_\_\_\_

4. Qualification (Please tick (✓) any one and give brief details):

☐ Under Highschool ☐ Highschool ☐ Graduate ☐ Doctorate ☐ Professional ☐ Illiterate☐ Others (Please specify) \_\_\_\_\_5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)  
☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)**(H) INTERNET TRADING**Whether you wish to avail of facility of Internet Trading/Wireless Technology (please specify) ☐ Yes ☐ No**(I) INVESTMENT / TRADING EXPERIENCE**☐ NO PRIOR INVESTMENT EXPERIENCE  YEARS IN EQUITIES YEARS IN DERIVATIVES  YEARS IN OTHER INVESTMENT RELATED ACTIVITIES**(J) NOMINATION DETAILS (For Individuals Only) (Mandatory)**☐ I/We wish to nominate☐ I/We do not wish to nominate

Name of the Nominee: \_\_\_\_\_ Relationship with the Nominee: . \_\_\_\_\_

PAN of Nominee: \_\_\_\_\_ Date of Birth of Nominee: . \_\_\_\_\_

Address and phone no. of the Nominee:

\_\_\_\_\_  
\_\_\_\_\_**If Nominee is a minor, details of guardian:**

Name of guardian: \_\_\_\_\_

Address of Guardian: \_\_\_\_\_

Phone no. of Guardian \_\_\_\_\_

Signature of guardian \_\_\_\_\_

WITNESSES (Only applicable in case the account holder has made nomination)

Name \_\_\_\_\_ Name \_\_\_\_\_

Address \_\_\_\_\_ Address \_\_\_\_\_

Signature. \_\_\_\_\_ Signature \_\_\_\_\_

ANY OTHER INFORMATION \_\_\_\_\_



**(K). INTRODUCER DETAILS : (Optional)**

Introduced by another Client / Employee / Director / Any Other Person Please Specify

NAME OF THE INTRODUCER: \_\_\_\_\_

ADDRESS : \_\_\_\_\_

PROOF OF IDENTITY : \_\_\_\_\_ PROOF OF ADDRESS : \_\_\_\_\_

CONTACT NO. \_\_\_\_\_ SIGNATURE OF INTRODUCER \_\_\_\_\_

**TRADING PREFERENCE**

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.				
<b>Exchanges</b>	NSE, BSE & MSEI			
<b>All Segment</b>	Cash / Mutual Fund	Future & Option	Currency	Debt

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

**TARIFF SHEET**

Cash Market/ Capital Market						
TRADING				DELIVERY		
Brokerage	Min (P)	(%)	Slab No.	Min (P)	(%)	Slab No.
1st Side	3	0.03 %		3	0.30 %	
2nd Side (Same Day 2nd Side)	3	0.03 %		3	0.30 %	
Brokerage for Trade to Trade / ODD Lot / Z Group Scrips				5	0.50 %	

**F & O / Derivative Market / Currency Derivative**

	EQUITY DERIVATIVES			EQUITY OPTION			CURRENCY DERIVATIVES			CURRENCY OPTION	
Brokerage	Min (P)	(%)	Slab No.	Per Lot	Slab No.		Min (P)	(%)	Slab No.	Per Lot	Slab No.
1st Side	3	0.03 %		Rs.100/-			3	0.03 %		Rs.100/-	
2nd Side (Same Day 2nd Side )	3	0.03 %		Rs.100/-			3	0.03 %		Rs.100/-	

**Other Charges**

Stamp Duty ☒ Yes ☐ No  
 Turnover Tax ☒ Yes ☐ No  
 GST ☒ Yes ☐ No  
 SEBI Fees ☒ Yes ☐ No  
 STT ☒ Yes ☐ No STATUTORY COST ☒ Yes ☐ No

For Client Use Only	
Signature of Client (4A)	
Name Of Client	
Client Code	

For Office Use Only	
Signature of Authorised Signatory	
Name of Authorised Signatory	
Designation	



## **RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AND CLIENTS AS PRESCRIBED SEBI AND STOCK EXCHANGE**

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.
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.

### **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.

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. Without 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.
20. 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**

21. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
22. 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.
23. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to 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.
24. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
25. 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**

26. 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.
27. 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**

28. 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.

29. 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.
30. 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.
31. 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.
32. 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.
33. 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.
34. 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.

35. The 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)**

36. 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.
37. 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-tamper able.
38. 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.
39. 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.
40. 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 a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.




41. 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**
42. 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.
43. 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.
44. The stock broker and the client shall abide by any award passed by the 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.
45. 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.
46. 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.
47. 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.

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## **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.

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## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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 are 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.
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.

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

### 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.nseindia.com](http://www.nseindia.com) / [www.bseindia.com](http://www.bseindia.com) / [www.mcx-sx.com](http://www.mcx-sx.com) / [www.useindia.com](http://www.useindia.com) and SEBI website [www.sebi.gov.in](http://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 AP. 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 the 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 give 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 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.

Note that all the stock broker 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.

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## **Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories**

### **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, 1996, 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, 1996 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.

### **Statement of account**

13. 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.
14. 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.
15. 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.
16. 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**

17. 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.

18. 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**

19. 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.
20. 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**

21. 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**

22. 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.
23. 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.

#### **Redressal of Investor grievance**

24. 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**

25. 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**

26. 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.
27. 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 Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. 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.
29. 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
30. 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.
31. 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.

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**POLICIES AND PROCEDURES FOR CLIENT DEALINGS - ALL EXCHANGES**  
**(MANDATORY as required by SEBI circular MIRSD/ SE / Cir-19/2009 dated December 3, 2009)**

**REFUSAL OF ORDER FOR PENNY STOCKS / ILLIQUID STOCKS**

GRETEX does not encourage trading in penny stocks or securities falling in T2T or Z group of BSE and / or BE group NSE and reserves its right to refuse orders in such securities from the clients desiring to deal in such shares, stocks, securities.

Under exceptional circumstances and considering merits on case to case basis, trading in penny stocks/T2T/Z/BE category may be allowed to clients on delivery basis subject to stringent verifications of the client holdings, intentions and bonafide reasons given by the intending clients.

However if it is observed that client/s is/are indulging in trading activities only in penny stocks or securities falling in T2T or Z group of BSE and / or BE group of NSE or carrying on any insider trading activity, the client account maybe immediately suspended without any reasons being given to the client/s.

Further client's traded volumes vis-a-vis market volumes will be considered and 10% of market volumes will be allowed or such market volume as decided by the GRETEX from time to time, subject to due diligence of the RMS and Compliance department. Further trading limits will be allowed subject to the client making margin payments, history of the client, trading platform, intention of doing the trades. The said additional trading limits may not be allowed on a regular basis to the client/s. GRETEX shall classify those scrips which have average trading volume of less than 5000 shares in the last 7 preceding trading days as penny stocks.

**SETTING UP OF CLIENTS EXPOSURE LIMITS**

1. Exposure limits are linked to the cash and the existing collaterals lying with GRETEX SHARE BROKING LIMITED.
2. The sum total of the following items will be considered as available margin for the next trading day:
  - a. Ledger balance (BSE Cash & F&O segment, NSE Cash & F&O and Currency segment).
  - b. Value of free securities lying in the Depository Account (having POA for pay-in and pay-out) of GRETEX after hair cut of:
    - (i) Flat 20% of the value of securities or as prescribed by any of the Exchange, whichever is higher.
    - (ii) % of VaR Margin as may be prescribed by the Exchange
  - c. Margin requirement in F&O segment (SPAN, EXPOSURE and Special Margins) as may be levied by the Exchange from time to time. GRETEX may in its sole discretion levy additional margin in special circumstances to mitigate any eventualities.

The client can get exposure against his / her available margin for trading equal to X no. of times in Cash Segment and as far as F & O is concerned, as per fulfillment of applicable margin requirement, subject to revision or modifications depending upon the volatility in the market.

(X no. of times will depend upon the risk profile of the respective clients.)

**BROKERAGE ON DEALINGS**

**Brokerage Philosophy**

GRETEX or any of its AP does not encourage sale or purchase of securities with the sole object of generating brokerage or commission. Also, neither GRETEX nor any of its branches, authorized persons or remisers furnish false or misleading quotations or give any other false or misleading advice or information to the clients with a view of inducing him / her / it to do business in any particular securities simply to enable GRETEX to earn brokerage or commission thereby.

**Brokerage**

1. GRETEX is entitled to charge brokerage at rates not exceeding the official scale prescribed by the relevant authority from time to time upon the execution of all orders in respect of purchase or sale of securities.
2. The Client shall sign against the brokerage slab specifically written in the Client Registration Form and in case of any deviation in the rate as agreed it shall be communicated by either party in writing 15 days in advance.

**Underwriting Commission and Brokerage**

3. Unless otherwise determined and restricted by the relevant authority, GRETEX may, in its discretion, charge such brokerage or commission for underwriting or placing or acting as a broker or entering into any preliminary arrangement in respect of any floatation or new Issues or Offer for Sale of any security as it may agree upon with the issuer or offerer or with the principal underwriters or brokers engaged by such issuer or offerer, subject to limits stipulated under the relevant statutory provisions as may be applicable from time to time.



**IMPOSITION OF PENALTY / DELAYED PAYMENT CHARGES , SPECIFYING THE RATE AND THE PERIOD (THIS MUST NOT RESULTING IN FUNDING BY THE BROKER IN CONTRAVENTION OF THE APPLICABLE LAWS)**

Without prejudice to any other provision of the Client Registration Documents the Client has been made aware and the Client understands and agrees that the Member may charge additional financial charges according to the Rules, Bye-laws and Regulations of the Exchange(s) i.e. BSE and/ or NSE / MCX-SX and usual customs of the market.

- a. On the dealings made under or pursuant to this Client Registration Documents
- b. On the Balance outstanding payable to the Member;

Notwithstanding anything contrary contained in these present, any amounts which are overdue from the Client towards trading or on account of any other reason, GRETEX will charge delayed payment charges at the rate of 2% per month or such other rate as may be determined by GRETEX (but not exceeding 2% per month). The Client hereby authorises GRETEX to directly debit the same to the account of the Client at monthly interval.

The client shall be liable to penalty or may impose fines/penalties and other charges on non –payments of money, cheque bounce, increase in open position or any order/trades/deals/action of the client which are contrary to the Client Registration Documents /rules/regulation/bye-laws of the exchanges or SEBI from time to time.

All fines/penalties and charges levied due to acts/deeds or transaction of the client will be recovered by the trading member by debiting directly to the trading account of the client.

**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)**

Without prejudice to GRETEX's other rights including the right to refer a matter to arbitration, GRETEX shall be entitled to liquidate / close all or any of the Client's position with oral intimation to the Client either directly or through any of its Branches or Remisers who have introduced the client for non-payment of margins, other lawful amounts due from the Client to GRETEX, Exchange, or any other lawful outstanding debts, etc. Any and all losses, financial charges and or incidentals expenses incurred by CHOICE on account of such liquidation/closing out shall be recovered from the Client and / or charged to and borne by the Client and/or deductible by GRETEX from the monies and/or collateral margin of the Client available with GRETEX.

**SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES**

In case of an internal shortage in any scrip in the same settlement where both buyer & seller are clients of GRETEX and seller does not deliver shares for his pay-in obligation:-

The short delivering client is provisionally debited by an amount equivalent to 125% of the rate at which the stock was sold by client. The securities delivered short are purchased from the market on T + 2day which is the Auction day on Exchange, and the purchase consideration is debited to the short delivering seller client along with the reversal entry of provisional amount debited earlier.

If the Client bought the shares and shares are not received from the Exchanges in Normal Payout, The same shall be received from exchanges through Auction mechanism or the transaction shall be Closed-out by Exchanges as per their Rules and Regulations. In Closed-out scenario, the Closed-out Credits shall be given to respective Client as and when received from the Exchanges.

If securities can not be purchased from market due to any force majeure condition, then all shortages not bought-in are deemed to be closed out and short delivering seller client is debited for Exchange NSE or BSE / MCX-SX as under:

NSE: at the higher of (i) the highest price between the first day of the trading day till the day of squaring-off, or (ii) closing price on the auction day plus 20%

BSE : at the higher of (i) highest price recorded in the scrip from the trading day on which the transaction took place upto a day prior to the day of the auction i.e , pay-in-day, or , (ii) 20% above the closing price on the auction day

**CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF A CLIENT**

GRETEX shall at its discretion decide, from time to time, the volume of business which the Client may transact during any trading day on respective Exchange(s). Notwithstanding such an agreement / arrangement, GRETEX shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client without any prior notice to the Client inter alia, having regard to:

1. the volatility in the market;
2. in view of impending price sensitive announcements;
3. any restrictions in relation to volume of trading / outstanding business or margins stipulated by any Exchange;
4. political instability in the Country;
5. presence of any other price sensitive factors;

6. failure by the Client to maintain the applicable collateral/margin and/ or
7. delays by the Client in meeting its obligations / dues relating to the business / dealings under this Client Registration Document or pursuant to any other Client Registration Document between the Client and the Member.

However the Stock Broker in its absolute discretion may consider it prudent to increase its exposure towards the Client.

#### **TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT THE CLIENT REQUEST**

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

The stock broker can withhold the payouts of the client and suspends client trading account due to his surveillance action or judicial or any regulatory order / action against the client which may require to suspend client's trading account.

#### **DEREGISTERING A CLIENT**

Notwithstanding anything to the contrary stated in the Client Registration Document, the stock broker shall be entitled to terminate the account with immediate effect in any of the following circumstances:

- (i) If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force, including direction to suspend/close from SEBI/Stock Exchange or any other statutory authority'
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other Client Registration Document with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this Client Registration Document.
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers it self to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

#### **EXTRAORDINARY EVENTS AND TERMINATION/SUSPENSION OF TRADING FACILITY:-**

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

#### **INACTIVE / DORMANT ACCOUNT POLICY**

Client account will be considered as inactive if the client does not trade for a continuous period of 12 months. Time Calculation shall be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive. The client has to make request for reactivation of their account. Funds and Securities of the Client shall be returned back to the client within reasonable time.

#### **TRADING IN EXCHANGE IS IN ELECTRONIC MODE**

Trading in Exchange is in Electronic Mode based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. The Client understands that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in

ther back office / front end system, or any such other problems/glitch whereby not being able to establish access to the trading system / network, which may be beyond our control and may result in delay in processing or not processing buy or sell Orders either in part or in full. The Client shall be fully liable and responsible for any such problem/fault.

#### Proprietary Trading

The stock broker (GRETEX SHARE BROKING LIMITED) hereby informs and declares to the client that, in addition to the client level trading, the stock broker, undertakes proprietary trading.

Mode of payment to and from the clients:

- 1- GRETEX SHARE BROKING LIMITED doesn't deal with its client vis-à-vis their trading by way of cash, accordingly all payment are made or received by them only through banking channels. further the client must make payments to the stock broker from his designated bank account only as mentioned in the kyc.
- 2- GRETEX SHARE BROKING LIMITED does not deal with its client vis-à-vis their trading by way of third party cheques. accordingly, if any payment is made otherwise, then it is credited to suspense account.

other charges:

- 1- Demat transaction charges will be debited to the client's trading account arised while scrip's are retained in GRETEX SHARE BROKING LIMITED client beneficiary account.
- 2- this is to inform you that the GRETEX SHARE BROKING LIMITED may charge, courier charges / postal charges for contract note / bills / statement of accounts / ledgers / statement of funds / securities on the request of the client in physical mode, even though client has already received the same through electronic mode.

#### RECORDING OF CONVERSATION:-

The client is aware and agrees that GRETEX may tape record the conversation between the client/client's representative and GRETEX, whether over the telephone or in person. GRETEX may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.

#### PMLA POLICY

**GRETEX SHARE BROKING LIMITED** has resolved that it would, as an internal policy, take adequate measures to prevent money laundering and shall put in place a frame-work to report cash and suspicious transactions to Financial Intelligence Unit (FIU) as per the guidelines of PMLA Rules, 2002.

##### A. Main features of the policy are :-

- 1) Compliance of the provisions of the PMLA and AML Guidelines
- 2) act as a central reference point and play an active role in identification & assessment of potentially suspicious transactions
- 3) Ensure that GRETEX discharges its legal obligation to report suspicious transactions to the concerned authorities.

##### B. The main aspect of this policy is Customer Due Diligence which means:

- 1) Obtaining sufficient information about the client in order to identify who is actual beneficial owner of the securities or on whose behalf transaction is conducted.
- 2) Verify the customer's identity using reliable, independent source document, data or information.
- 3) Conduct on- going due diligence and scrutiny of the account/client to ensure that the transaction conducted are consistent with the client's background/financial status, its activities and risk profile.

The Customer Due Diligence Process includes three specific parameters:

- a) Policy for Acceptance of Clients
- b) Client Identification Procedure
- c) Suspicious Transactions identification & reporting

GRETEX is careful while accepting clients of special category like NRIs, HNIs, Trust, Charities, NGOs, Politically Exposed Persons (PEP), persons of foreign origin, companies having closed shareholding/ownership, companies dealing in foreign currency, shell companies, overseas entities, clients in high risk countries, non face to face clients, clients with dubious background. Current/Former Head of State, Current/Former senior high profile politician, Companies offering foreign exchange, etc.) or clients from high-risk countries (like Libya, Pakistan, Afghanistan, etc.) or clients belonging to countries where corruption/fraud level is high (like Nigeria, Burma, etc.). Scrutinize minutely the records/documents pertaining to clients belonging to aforesaid category. The client shall ensure that no account is being opened in a fictitious/benami name or on an anonymous basis.

##### C. Suspicious Transactions and its Reporting to FIU :-

GRETEX shall analyze and furnish details of suspicious transactions, if any to FIU if required of any client. This may be on the basis of Identity of Client, activity in accounts, nature or value of transactions.



1. Background: Exchanges vide its circular NSE/INSP/62528 dated June 21, 2024 and 20240622-2 dated June 22, 2024 pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer “Good Till Cancelled” / “Good Till Triggered” orders or orders of similar type.
2. Scope: The Exchanges have stated that the policy shall include –
  - a. Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
  - b. Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
  - c. Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.
3. Details of Good Till Cancelled/Good Till Triggered/orders –
  - a. Gretex Share broking Ltd. (“GSBL”) enables its clients to place “Good Till Date” (GTD) orders.
  - b. GTD is an order facility through which a client can place buy and sell limit orders in shares, index futures & index options specifying the period for which the order instruction is valid. The period selected by the client shall be within the maximum validity date defined by GSBL. Since client has the right to define validity date (“order validity date”), this order type is called as Good Till Date (GTD) order.
  - c. All existing and new clients of GSBL who are eligible to trade in Equity Cash product & Derivatives can avail GTD facility for order placement.
  - d. The facility of placing a GTD order is available in Equity Cash product, Index futures, Index Options product only. It is not available for other products like Margin, Spot, etc. As and when, GTD orders are introduced in new segments the same shall be displayed through the GSBL website and subsequently updated in the policy.
  - e. Client can specify disclosed quantity while placing cash orders with GTD order validity.
  - f. GTD orders can only be placed by specifying a limit price. GTD orders cannot be placed at market price.
  - g. If a GTD order is not executed for the entire quantity, GSBL is authorised to place fresh orders for the unexecuted quantity for the client on the subsequent trading days till the entire quantity is executed or till the validity expires, whichever is earlier. This feature permits the client to specify the number of days during which the client intends to place the orders.
  - h. GTD orders can be placed during the pre-open session for all scrips, however only orders in scrips that are pre-open enabled would be sent to exchange during the pre-open session. Orders in all other scrips not enabled for pre-open session would be treated as overnight orders and sent to exchange during normal trading session.
  - i. Client shall ensure that necessary funds/margins are available to place GTD orders in their account for the unexecuted quantity of the order.
  - j. “Order Validity Date” means the date entered by the client while placing GTD orders. This date shall be equal to or less than the maximum validity date defined by GSBL which would appear as the default “Order Validity Date”. Client can choose the GTD order validity date as less than or equal to the maximum validity date defined by GSBL. Client shall not be allowed to place orders with GTD validity beyond maximum defined validity date.
  - k. In case the GTD order validity date falls on a non trading day, the order is expired by GSBL on the last trading day which falls prior to such order valid date which is a non trading day. Post the expiry, the status of GTD order is updated as Expired (Closed).
  - l. Once a client has placed a GTD order, GSBL will place orders for the unexecuted quantity of the GTD order for all the days during the validity period or till the quantity is fully executed or cancelled or rejected due to any reason. Client may login only to check the status of such orders.
  - m. For the unexecuted quantity orders shall be placed daily as overnight orders during the validity period, i.e. until the order validity date is less than or equal to the next trade date provided such GTD order remains unexecuted and is not cancelled, nor rejected due to any reason. The orders would be placed on these dates provided they are trading days.
  - n. All securities in BSE & NSE except securities in debt segment, NCD, Bonds and illiquid securities are eligible for the placing GTD order.
  - o. Orders with GTD validity can be placed both during the market hours as well as post market hours.

- p. GTD orders can be placed over CallNTrade.
  - q. Client can place maximum 5 GTD orders for a particular scrip and in all a client can place maximum 30 GTD orders across all eligible scrips.
  - r. Clients can modify the quantity or limit price of a GTD orders Clients can modify the order only when the order is in 'Ordered status' (during market hours) or 'Requested status' (after market hours). "GTD Blocked" orders cannot be modified but can only be cancelled.
  - s. All GTD orders can be cancelled.
  - t. The Brokerage rates and applicable charges are same for normal transactions and GTD orders. Further, GTD orders shall be settled in the same manner as normal equity / derivative market transactions.
  - u. Clients can also place GTD Buy and Sell (sell- Open position only) order under E-Margin Product.
  - v. Stoploss orders can also be placed with GTD validity.
4. Handling of GTD orders in case of corporate actions: Post Corporate Action, GTD orders will be validated against DPR (Daily Price Range) sent by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges. The orders which would get failed in circuit check and daily price range for next day pumping would be kept in system in "GTD Blocked" status for retry on subsequent trading day. Emails and SMS will be sent to the customers when the GTD orders fall short of Funds / Securities or Blocked due to price beyond DPR range.
5. Updating Clients of upcoming Corporate Actions : All upcoming corporate actions including dividend, bonus, split, etc. shall be intimated to clients having unexecuted GTD orders atleast one day prior to the ex-date of the corporate action. Clients shall review their GTD orders pro actively whenever there may be impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.
6. Policy Communication: The said policy shall be made part of the Account Opening Form/Kit under heading "Policy on Handling of Good Till Cancelled Orders of Client" of Policy and Procedures document and shall also be displayed on the GSBL website.
7. Policy Review: The said policy shall be reviewed on an annual basis.



## RUNNING ACCOUNT AUTHORISATION (VOLUNTARY)

To,

Date : 

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**Gretex Share Broking Ltd.**

A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg,  
Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013

Dear Sir,

In order to facilitate operations of my/our trading account opened under the aforesaid client code, I/we would like to authorise Gretex Share Broking Limited ("GRETEX") to maintain a running account, instead of settlement-to-settlement clearance of funds due to me/us. In this regard I/we hereby authorize GRETEX to maintain a running account in accordance with circulars/ guidelines issued by SEBI/Exchanges from time to time.

Periodic settlement as indicated by me/us below (hereinafter referred as 'settlement period'), will be done by GRETEX on any day at its discretion after 30 or 90 days, as per my preference given below. I/We agree that I/we shall be liable to pay the debit standing to my account on the settlement date or any other date.

I/We agree that GRETEX may, at the time of periodic settlement retain funds as may be allowed by the Exchanges/SEBI, towards margin obligations on current and future transactions and such funds towards any other unbilled services/charges for services availed from GRETEX. I/We understand that GRETEX will refund the total money after retaining obligation if any if I/We did not trade for 30 days irrespective of when the funds were given by me/ us to GRETEX.

I/We agree that GRETEX shall not be liable for any claim for loss, loss of profit, loss of interest or for any consequential, incidental, special or exemplary damages, caused by retention/settlement of such funds under aforesaid arrangement or otherwise.

I/We am/are aware that the authorization will be in force till the same is revoked by me/us. Further I/we may revoke the authorization any time making a valid request for revocation. GRETEX may release the funds to me/us on my/our on settlement date or on request or on revocation of authority, if sufficient margins in respect of my/our trading, across the Stock Exchange(s) and across the segment of the Stock Exchange(s) are available with GRETEX.

I/We am/are aware that for the purpose of settlement of funds, the mode of transfer of funds shall be only by way of electronic transfer viz NEFT, RTGS etc.

I/We shall prefer settlement of fund at such frequency as ticked below.

Frequency	Tick (✓) - any one
Once in a 30 days for Cash, F&O, CDS and Commodities	<input type="checkbox"/>
Once in a 90 days for Cash, F&O, CDS and Commodities	<input type="checkbox"/>

 (9) \_\_\_\_\_

### UNDERTAKING FOR SERVICES BY WAY OF SMS ALERTS BY TRADING MEMBER ON MOBILE /CELLULAR PHONES

I/We are having a trading account with your self for the purpose of trading on National Stock Exchange of India Limited or Bombay Stock Exchange Limited or Metropolitan Stock Exchange of India Limited.

I/We have registered the mobile number 

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 for receiving SMS alerts in respect of various services being offered by the Trading Member.

A. In respect of investment/trading advisory services received from the trading member. I/ We undertake to the trading member and confirm to use my/our own judgement in taking a call on the said investment(s).

I/We also undertake to the trading member and confirm that I/We execute trades in the identified security(s) according to my/our financial strength/capability.

I/We declare and agree that the trading member shall not be responsible for any loss suffered by me/us or account of executing or omitting to execute any trades in pursuance of the SMS alerts(s) and/or investment advises sent by the trading member.

I/We shall not have any claim whatsoever against the trading member in respect of the above mentioned acts or omissions.

I/We authorize to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me / us by way of SMS on a daily basis.

I/we hereby state that my/our number is not under Do not disturb directory and I / we am/are availing this services on my/our own will and there will be no financial obligations of GSBL in case if legal disputes.

B. In respect of all other intimation services offered by the trading member, I/We undertake to indemnify the trading member and absolve the trading member of any claims on account of various services rendered to me/us in respect of servicing my/ our trading account with them.

I/We agree to the Running Account Facility and SMS Alert facility as per the terms given above.

Name of Client: \_\_\_\_\_

Client Code: \_\_\_\_\_

 (10) \_\_\_\_\_

## DECLARATION & CONFIRMATION BY CLIENT

Date : 

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To,

**Gretex Share Broking Ltd.**

A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg,  
Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013

I/ We hereby declare and confirm:

- 1) That I/We hereby agree that the ledger statement in respect of transactions entered into on the cash, F&O & CD segment of the Exchange will be combined for the purpose of convenience of the stock broker. I/We hereby authorize you to transfer, make adjustments and/or to set off a part of whole of the securities placed as margin and/or any surplus funds in any of my/our account(s) maintained with Gretex Share Broking Ltd. against the lawful outstanding dues payable if any, by me/us in any of my/our account(s) maintained with or vice versa. Gretex Share Broking Ltd. shall have right of lien on the credit balance in any of my/our accounts for the dues of any exchange & segments.
- 2) That I/We hereby agree to pay all the amount due to the broker on its due date. The amount due to the broker shall include all types of margin and pay in obligation. In case if I/We do not make payment by due date I/We understand and agree to pay penal interest Upto 2% Per Month chargeable on the amount remaining outstanding as levied by the Stock broker and / or sell the securities lying with the stock broker.
- 3) That I / We agree to open an account with you, I/We agree to intimate / inform the detail of my relative, from time to time ('Relative' shall mean and include relative as defined under Section 2 (77) of 'the Companies Act, 2013') that may open trading account with you on the Stock Exchange, both the BSE / NSE. In case I fail to intimate / inform you, I / We authorize you to identify the same if possible at your end.
- 4) That I/We have a trading account as well as a Demat account with Gretex Share Broking Ltd. For the convenience of payment of all the charges, pertaining to my/our demat account, I/We hereby request you to debit my /our trading account with all the DP account charges, as and when the bill is raised by (Depository Participant). Further, I / We understand that in case of any non-compliance of the Bye Laws, Rules and Regulation as laid down by SEBI / Exchange, and / or the Depository and for any other matter that may be decided by Gretex Share Broking Ltd. from time to time, Gretex may charges penalty on me/us. Such penalty amount shall be directly debit my/our account. I/We hereby request you to debit my/our trading account for the amount of penalty charges in my/our demat account with you.
- 5) That I/We hereby declare that there has been no adverse action whatsoever, such as enquiry/adjudication (penalty imposed) / suspension / cancellation / prosecution/de-barring from capital market, initiated against me/us or against my /our or any of my/our associated entities by SEBI or any other Regulatory authority during last 3 year. I/We undertake to update /inform /provide in case any enquiry or action is initiated / asked by SEBI / regulatory authorities
- 6) That I / We are fully understand and am/are aware that giving false declaration is an offence and can result in certain action including the rejection of application for opening the account and/or deactivation/freezing of my/our account.
- 7) 'Electronic Payout : I/We hereby, irrevocable, authorise Gretex Share Broking Ltd. to credit my/our bank account electronically i.e. through Net Banking, RTGS, NEFT etc. for all the funds pay out due to me/us. I/We confirm that I/We am/are the first holder and bonafide owner of the given bank account/s. I/We am/are enclosing documentary proof in this regard for your reference and record. I/We am/are aware and understand the risks associated with electronic transfer of funds and hereby indemnify Gretex Share Broking Ltd. from all liabilities losses resulting either from delay in crediting of pay out amount and / or non execution of such electronic pay out instruction for any reasons beyond the controlled of Gretex Share Broking Ltd. I/We have provided Cancelled Cheque /Bank Statement with IFSC Code for you to do the needful.'

 (11) \_\_\_\_\_

## VOLUNTARY DOCUMENT

### Declaration, Indemnity cum Undertaking for name or signature discrepancy in PAN Card, Bank Proof & Address proof.

To,

**Gretex Share Broking Ltd.**

A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg,  
Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013

Date : 

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Please note my name is registered differently in PAN card, Bank , Address proof, demat account etc. I confirm that all the names given in these accounts belong to me only and request you to open Trade & demat account with you as per PAN card . My PAN number is \_\_\_\_\_ do hereby affirm, declare and undertake as under

1. That my name as it appears on the Income Tax website is \_\_\_\_\_
2. That my name as it appears on my Pan Card is \_\_\_\_\_
3. That my name as it appears on the Address proof is \_\_\_\_\_
4. That my name as it appears on the Bank Proof is \_\_\_\_\_
5. That I hereby request **GSBL** to maintain my name in Demat and Trading account as per the name appearing on the Income Tax website .
6. With reference to my signature mismatch as per Pan Card number given above and the account opening form and other documents I have submitted herewith, I request you to record with yourselves my specimen signature as signed below.
7. That I promise and undertake to get my PAN card altered in accordance with my name or signature as appearing on the Income Tax website within 45 days from the date of signing this undertaking. **GSBL** may, at its sole discretion, terminate my trading and demat account in the event of me not getting my name altered within 45 days of signing this undertaking.
8. That I further undertake to open a bank account in accordance with the name as appearing on the Income Tax website within one week from the date of signing this undertaking.
9. I further undertake that in case my name has been changed after approval from government authorities and notified in official gazette, I shall get the name change effected in PAN, Bank account etc. and furnish immediately to **GSBL**.
10. That I further declare that I am responsible and I shall indemnify & keep indemnified **GSBL**, its directors, officers, employees and agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements, actions, suits, proceedings arising out of or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA), share transfer, dematerialization of securities, rematerialization of securities, dividends, interest, etc., that may arise due to name or signature discrepancy or due to non compliance or any liability suffered or incurred or fastened on to **GSBL** due to **GSBL** accepting this Declaration-cum-undertaking and/or acting on this basis.

That the contents of this declaration, Indemnity-cum-undertaking have been explained to me in vernacular and I have understood the same before signing it. That this declaration, Indemnity-cum-undertaking given by me to **GSBL** is by my absolute free will and without any coercion, undue influence, pressure, etc., and at present I am having sound health and mind.

 (12) \_\_\_\_\_

## VERBAL ORDER ACCEPTANCE AUTHORISATION

To

**Gretex Share Broking Ltd.**

A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg,  
Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013

Date : 

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I/We have been / shall be dealing through you as my/ our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments/Currency Derivative Segments. As my/our broker I/we direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We agree and acknowledge that it is advised and prefer you that I/We give instructions for order placement/ modification and cancellation in writing and to avoid disputes, I/we must give instructions in exactly the format given below in duplicate (carbon copy/ photocopy) and take signatures of your duly authorised officers at the branch along with your company stamp on the carbon/photocopy of the instructions in acknowledgment of receipt of my/our instructions.

However as I/ We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my / our authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same.

I /We understand the risk associated with verbal orders and I/We shall be liable for all risks, losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Further, please note that we shall maintained the recording at our premises for reasonable time.

 (13) \_\_\_\_\_

### FORMAT OF NOC LETTER TO BE SUBMITTED BY BROKER'S/EXCHANGE'S EMPLOYEE

This is to state that I \_\_\_\_\_ S/oD/o. \_\_\_\_\_

R/o \_\_\_\_\_ is employee with the

following Stock Broker / Authorised Person / Remiser/Stock Exchange \_\_\_\_\_  
(please strike out which is not applicable).

Further, I / We hereby declare that I am / We are a Stock Broker / Authorised Person / Remiser of the \_\_\_\_\_  
( name of the Stock Exchange where client is a Stock Broker / Authorised Person / Remiser) and in this regard pursuant to SEBI circular SEBI/MIRSD/CIR-06/2004 dated January 13, 2004.

Further, I / We states that I/We have intimated the said Exchange of my/our intention to open a trading account with **Gretex Share Broking Ltd.** only for the purpose of my / our proprietary trades (acknowledged the copy of Intimation Letter / Approval Letter / NOC Letter is attached herewith).

Client Name : Mr./ Ms./ Mrs. \_\_\_\_\_

Client Code : \_\_\_\_\_

 (14) \_\_\_\_\_



## Demat Debit and Pledge Instruction ("DDPI")

BOID: \_\_\_\_\_

Client Name: \_\_\_\_\_

PAN No. : \_\_\_\_\_

Dear Sir/Madam,

I/We, the undersigned Beneficial Owner(s), do hereby appoint Gretex Share Broking Limited (GSBL) to exercise the following powers and authorities on my behalf.

S.N	Purpose	Signature of Client		
		First Holder	Second Holder	Third Holder
1.	I/We agree and permit GSBL to transfer any securities held in my beneficial owner account towards any Exchange (any SEBI Recognised Exchanges where GSBL is a member) related deliveries / settlement obligations arising out of trades executed by me/us on the Exchanges through GSBL;			
2.	I/We agree and confirm to allow pledging / re-pledging of securities in favor of GSBL and the clearing member (CM) with whom GSBL is a member of, for the purpose of meeting my/our margin requirements in connection with the trades executed by me/us on the Exchanges.			
3.	I/We agree enabling Mutual Fund transactions (buy or sell) to be executed via stock exchange operated order entry platforms, such as BSE Star MF & NSE NMF. 4. I/We agree to enable tendering of shares submitted by me under any open offers via stock exchange platforms.			


I/We further agree and confirm that DDPI shall continue valid, until it is revoked in writing by me/us at any time and the said revocation shall be effective from the date it is received by the stock broker in his office.

### Demat Accounts of the Stock Broker

Name of DP	Demat Account Number	Type of Accounts	CM BP Id
Gretex Share Broking Limited	IN304543 10000012	Clearing Member Account	IN645480
Gretex Share Broking Limited	IN304543 10000045	Client Securities Margin Pledge Account	
Gretex Share Broking Limited	IN304543 10000140	CM - Client Unpaid Securities Pledgee Account	
Gretex Share Broking Limited	IN304543 10000617	Client Nodal MFOS Account	
Globe Capital Market Limited	12020600 00567062	Clearing Member Account	

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# Additional KYC Form for Individual Opening a Demat Account

 <b>Gretex Share Broking Ltd.</b> <small>(Formerly Known as Gretex Share Broking Private Limited)</small> A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg, Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013.		<b>Client –ID</b> (To be filled by Participant)																			
I/We request you to open a depository account in my/our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>												<b>Date</b>		D	D	M	M	Y	Y	Y	Y
<b>A) Details of Account holder(s):</b>																					
Account holder(s)		Sole/ First Holder				Second Holder				Third Holder											
Name																					
PAN																					
Occupation <i>(please tick any one and give brief details)</i>		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist									
		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired									
		<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife		<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife		<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife									
		<input type="checkbox"/> Business		<input type="checkbox"/> Student		<input type="checkbox"/> Business		<input type="checkbox"/> Student		<input type="checkbox"/> Business		<input type="checkbox"/> Student									
		<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify; _____)		<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify; _____)		<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify; _____)									
Brief details:																					
<b>B) For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name &amp; PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:</b>																					
a) Name						b) PAN															
<b>C) Type of account</b>																					
<input type="checkbox"/> Ordinary Resident		<input type="checkbox"/> NRI-Repatriable				<input type="checkbox"/> NRI-Non Repatriable															
<input type="checkbox"/> Qualified Foreign Investor		<input type="checkbox"/> Foreign National				<input type="checkbox"/> Promoter															
<input type="checkbox"/> Margin		<input type="checkbox"/> Others (Please specify) _____																			
<b>D) Gross Annual Income Details</b>																					
Income Range per annum (please tick any one)																					
<input type="checkbox"/> Below ₹ 1 lac		<input type="checkbox"/> ₹ 1- 5 lac		<input type="checkbox"/> ₹ 5- 10 lac		<input type="checkbox"/> ₹ 10- 25 lac		<input type="checkbox"/> More than ₹ 25 lac													
<b>E) In case of NRIs/ Foreign Nationals</b>																					
RBI Approval Reference Number																					
RBI Approval date																					
<b>F) Bank details</b>																					
1		Bank account type <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____																			
2		Bank Account Number																			
3		Bank Name																			
4		Branch Address																			
		City/town/village				PIN Code															
		State				Country															
5		MICR Code																			
6		IFSC																			

G)	Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)									
----	--	--	--	--	--	--	--	--	--	--

H)	<b>Standing Instructions</b>									
1	I/We authorise you to receive credits automatically into my/our account.							<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2	Account to be operated through Power of Attorney (PoA)							<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3	Account to be operated through Demat Debit and Pledge Instruction (DDPI)							<input type="checkbox"/> Yes	<input type="checkbox"/> No	
4	<b>SMS Alert facility:</b> [ <i>Mandatory if you are giving Power of Attorney (PoA/DDPI). Ensure that the mobile number is provided in the KYC Application Form</i> ]									
	Sr. No.	Holder					Yes	No		
	1	Sole/First Holder					<input type="checkbox"/>	<input type="checkbox"/>		
	2	Second Holder					<input type="checkbox"/>	<input type="checkbox"/>		
	3	Third Holder					<input type="checkbox"/>	<input type="checkbox"/>		
5	Mode of receiving Statement of Account [Tick any one]		<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].							
6	For Joint accounts, communication to be sent to (See Note 5)		<input type="checkbox"/> First holder <input type="checkbox"/> All joint account holders							

I)	<b>Guardian Details</b> (where sole holder is a minor): [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]									
	Guardian Name									
	PAN									
	Relationship of guardian with minor									

J)	<b>Nomination Option</b>									
	<input type="checkbox"/> I/We wish to make a nomination. [Details are provided at FORM 10]					<input type="checkbox"/> I/We do not wish to make a nomination.				

K)	<b>Mode of Operations for Joint Accounts</b>									
	Jointly					<input type="checkbox"/> Anyone of the holder or survivor(s)				

	If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.									
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#### Declaration

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

Name(s) of holder(s)	Signature(s) of holder
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)	(15)
Second Holder (Mr./Ms.)	(15)
Third Holder (Mr./Ms.)	(15)






**Notes :**

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

**[Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts – Extension of timelines and relaxations for existing account holders]**

www.gretexbroking.com

11	Mobile / Telephone No. of Guardian #			
12	Email ID of Guardian #			
13	Relationship of Guardian with Nominee			
14	Guardian Identification Details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat A/c ID			
Name(s) of holder(s)			Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)		 (16)		
Second Holder (Mr./Ms.)		 (16)		
Third Holder (Mr./Ms.)		 (16)		

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

# Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

**Note:**

This nomination shall supersede any prior nomination made by the account holder(s), if any.

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

**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]

☐ I/We do not wish to nominate any one for this Demat & Trading account.

Dated

UCC / DP ID	I	N	3	0	4	5	4	3								
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(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

**Name and Signature of Holder(s)\***

Sole/First Holder Name

Second Holder Name

Third Holder Name

 (17)

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



# Gretex Share Broking Ltd.

(Formerly Known as Gretex Share Broking Private Limited)

DP ID: IN304543, SEBI Regn No.: IN-DP-699-2022, CIN No.: U65900MH2010PLC289361

Regd. Office: A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg,  
Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013. Tel: 022-69308514

Email: support@gretexbroking.com | Website: www.gretexbroking.com



## DEPOSITORY PARTICIPANT WITH NSDL

### SCHEDULE OF CHARGES FOR NSDL - BENEFICIARY ACCOUNT


	BASIC PLAN <input type="checkbox"/> (A)		LIFE TIME PLAN <input type="checkbox"/> (B)	
<b>DPID</b>	IN304543		IN304543	
<b>DP Name</b>	GRETEX SHARE BROKING LIMITED		GRETEX SHARE BROKING LIMITED	
<b>Scheme Name (if any)</b>	Regular Scheme		Regular Scheme	
<b>Advance/Deposit</b>	NIL		NIL	
<b>Account Category</b>	INDIVIDUAL	CORPORATE	INDIVIDUAL	CORPORATE
<b>Account Maintenance</b>	Rs. 300/- Plus GST	Rs. 1000/- Plus GST	Rs. 2000/- Plus GST	Rs. 5000/- GST Plus GST
<b>Demat</b>	Rs.100 + 20 per certificate. Fee of Rs. 100 conversions of MF		Rs.100 + 20 per certificate. Fee of Rs. 100 conversions of MF	
<b>Remat</b>	Rs. 150/- per certificate + NSDL charges Rs. 100/ per reconversion request of MF		Rs. 150/- per certificate + NSDL charges Rs. 100/ per reconversion request of MF	
<b>Transaction (Debit)</b>	Market Trade -Payin Rs.30 By DDPI & other Rs. 50/ per instruction or 0.04% of the value of the securities, whichever is higher		Market Trade -Payin Rs.30 By DDPI & other Rs. 50/ per instruction or 0.04% of the value of the securities, whichever is higher	
<b>Off Market / Inter Depository</b>	A flat fee Rs. 50/ per instruction or 0.04% of the value of the securities, whichever is higher		A flat fee Rs. 50/ per instruction or 0.04% of the value of the securities, whichever is higher	
<b>Redemption</b>	Rs.50/- Per Instruction		Rs.50/- Per Instruction	
<b>Pledge Creation</b>	A flat fee Rs. 50/ per instruction or 0.04% of the value of the securities, whichever is higher		A flat fee Rs. 50/ per instruction or 0.04% of the value of the securities, whichever is higher	
<b>Pledge Creation Confirmation</b>	A flat fee Rs. 50/ per instruction or 0.02% of the value of the securities, whichever is higher		A flat fee Rs. 50/ per instruction or 0.02% of the value of the securities, whichever is higher	
<b>Pledge Closure</b>	A flat fee Rs. 50/ per instruction or 0.02% of the value of the securities, whichever is higher		A flat fee Rs. 50/ per instruction or 0.02% of the value of the securities, whichever is higher	
<b>Pledge Closure Confirmation</b>	A flat fee Rs. 50/ per instruction or 0.02% of the value of the securities, whichever is higher		A flat fee Rs. 50/ per instruction or 0.02% of the value of the securities, whichever is higher	
<b>Pledge Invocation</b>	A flat fee Rs. 100/ per instruction or 0.02% of the value of the securities, whichever is higher.		A flat fee Rs. 100/ per instruction or 0.02% of the value of the securities, whichever is higher.	
<b>Margin Pledge Charges</b>	I. Margin pledge initiation from client account - Rs.20/- Per Instruction II. Margin pledge closure - Rs.20/- Per Instruction III. Repledge from TM account to CM account - Rs.20/- Per Instruction IV. Re-pledge from cm account to CC account - Rs.20/- Per Instruction V. Re-pledge release by CM - Rs.20/- Per Instruction VI. Re-pledge release by TM - Rs.20/- Per Instruction VII. Invocation by CM or TM - Rs.20/- Per Instruction		I. Margin pledge initiation from client account - Rs.20/- Per Instruction II. Margin pledge closure - Rs.20/- Per Instruction III. Repledge from TM account to CM account - Rs.20/- Per Instruction IV. Re-pledge from cm account to CC account - Rs.20/- Per Instruction V. Re-pledge release by CM - Rs.20/- Per Instruction VI. Re-pledge release by TM - Rs.20/- Per Instruction VII. Invocation by CM or TM - Rs.20/- Per Instruction	





	<b>BASIC PLAN <input type="checkbox"/> (A)</b>	<b>LIFE TIME PLAN <input type="checkbox"/> (B)</b>
<b>NDU Charges</b>	0.015% of the value of securities upon creation of hold subject to a minimum of Rs. 50/-	0.015% of the value of securities upon creation of hold subject to a minimum of Rs. 50/-
<b>Failed instruction charges</b>	Rs. 10/ per instruction	Rs. 10/ per instruction
<b>Other charges if any Remarks</b>	I. A/c modification - Rs.50/- Taxes extra as levid II. Demat Rejection Charges - Rs.50/- Taxes extra as levid III. DIS Booklets Rs.100/- Per Booklet	I. A/c modification - Rs.50/- Taxes extra as levid II. Demat Rejection Charges - Rs.50/- Taxes extra as levid III. DIS Booklets Rs.100/- Per Booklet

- ❖ All Charges mentioned above are inclusive of NSDL charges of Rs. 500/= AMC payable to NSDL for Corporate Accounts
- ❖ Service Tax as prescribed would be levied on all charges & Easy Service Facility available free of charge.
- ❖ The above rates are subject to change with 30 days prior intimation OR any other changes in NSDL Tariff.
- ❖ All the percentage are on the value of shares and the value calculated from BSE closing price.
- ❖ Separate Cheque required for any of the special plan in favour of G retex Share Broking Ltd. and Special Plan charges are not refundable.
- ❖ I/We hereby authorize you to debit and/or withdraw the money from my/our trading account opened with you to pay my/our dues in above Depository Account along with **DDPI** Stamp Duty Charges of Rs.500/-. **(For Offline)**

I/We have given this authorization to you voluntarily for the purpose of smooth operations of my/our accounts.

 (18) \_\_\_\_\_  
Signature of First Holder

 \_\_\_\_\_  
Signature of Second Holder


 \_\_\_\_\_  
Signature of Third Holder


Date : 


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☐ I wish to open Basic Services Demat Account (BSDA)

<b>Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)</b>	<b>Maximum Annual Maintenance Charges</b>
Up to 4 lakhs	NIL
More than 4 lakhs but up to 10 lakhs	100
More than 10 lakhs	Not a BSDA. Regular AMC will be levied.

 (19) \_\_\_\_\_  
Signature of First Holder

 \_\_\_\_\_  
Signature of Second Holder

 \_\_\_\_\_  
Signature of Third Holder

Date : 

				2	0		
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## DECLARATION FOR DIS BOOK

Date : 

				2	0	2	
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To,

**Gretex Share Broking Ltd.**

A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg,  
Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013.

Dear Sir / Madam,

A. ☐ I / We require the Delivery Instruction Slip (DIS)


OR

B. ☐ I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA executed in favour of **Gretex Share Broking Ltd (GSBL)** for executing delivery instructions for setting stock exchange trades [settlement related transactions] and margin purpose effected through GSBL. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA executed in favour of **Gretex Share Broking Ltd (GSBL)** for executing delivery instructions for setting stock exchange trades [settlement related transactions] and margin purpose effected through GSBL. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully,

DP ID	I	N	3	0	4	5	4	3	CLIENT ID							
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--


Particulars	First/ Sole Holder/ KARTA	Second Joint Holder	Third Joint Holder
Name			
Signatures  (21)			

### ACKNOWLEDGEMENT

I / We acknowledge with thanks the receipt of a duly executed copy of the KYC kit with supporting documents, as per SEBI guidelines conveyed through BSE Notice No.20080624 dt: 24/06/2008 / NSE Circular No. NSE/INSP/2008/67 dt:23/06/2008.

I / We further acknowledge the receipt of a separate booklet containing all the mandatory documents containing Rights & Obligation of Stock Broker and Clients / Internet & Wireless Technology Based Trading Facility / Risk Disclosure Document ( RDD ) / Guidance – DO's and DON'T's / Rights & Obligation of Beneficial Owner and Depository Participant / Policies and Procedures of Trading Member.

The above mentioned documents are also available in the vernacular languages and are on NSE website at [https://www.nseindia.com/membership/content/complinc\\_trading\\_mem.htm](https://www.nseindia.com/membership/content/complinc_trading_mem.htm) and can be downloaded

 (20)

Name of Client: \_\_\_\_\_

Client Code: \_\_\_\_\_

Client's Signature / For Non Individual  
please affix the seal also

## FATCA-CRS Declaration for Entities

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

### Part – A

<b>PAN</b>									
<b>Name</b>									
<b>Place of Incorporation</b>					<b>Country of Incorporation</b>				
Is the entity involved in / providing any of the following services:	<input type="checkbox"/> Foreign Exchange / Money Changer Services <input type="checkbox"/> Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates] <input type="checkbox"/> Money Laundering / Pawning				Any other information [if applicable]		[Please specify]		

Is your [Entity] Country of Tax Residency other than India – ☐ Yes ☐ No

If “Yes”, please specify the details of all countries where you [Entity] hold tax residency and its Tax Identification Number & type

S No	Country of Tax Residency	Tax Payer Identification Number/ Functional Equivalent / Company Identification Number or Global Entity Identification Number	Identification Type [TIN or other, please specify]
1			
2			
3			

In case the Entity’s Country of Incorporation / Tax Residence is US but Entity is not a Specified US person, mention Entity’s exemption code here \_\_\_\_\_

### Part B [to be filled by Financial Institutions or Direct Reporting NFFEs]

We are a <input type="radio"/> Financial Institution / FFI <input type="radio"/> Direct Reporting NFFE	<b>GIIN</b> (Global Intermediary Identification Number): <table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> <p><i>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below</i></p> <p><b>Name of the sponsoring entity</b></p> <table border="1"> <tr> <td></td> </tr> </table> <p><b>GIIN not available</b> [tick any one]:</p> <p><input type="checkbox"/> Applied For <input type="checkbox"/> Not required to apply for – specify sub - category code <input type="checkbox"/></p> <p><input type="checkbox"/> Not obtained - Non-participating FFI</p>																			


**Part C [Fill any one as applicable to be filled by NFEs other than Direct Reporting NFEs]**

1	Is the entity is a listed company [whose shares are regularly traded on a recognized stock exchange]	Yes <input type="checkbox"/> (Please specify the name of the Stock Exchange (s) where it is traded regularly) 1. _____ 2. _____
2	Is the entity a Related Entity of a listed company [whose shares are regularly traded on a recognized stock exchange]	Yes <input type="checkbox"/> (Please specify the name of the listed company, name of the Stock Exchange( s) where it is traded regularly) Name of the listed company: _____ Name of the Stock Exchange: _____
3	Is the entity an Active NFE?	Yes - Nature of business _____ Please specify sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>
4	If the entity a Passive NFE	Yes - Nature of business _____ Also submit UBO Form [provided separately]

**Declaration:**

I/We acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We aware that I may liable for it. I/We hereby authorize Gretexto disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by us, including all changes, updates to such information as and when provided by us to Gretexand its group companies ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I/We authorize Gretexto provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same

Signature with relevant seal:

 (21 AP)\_\_\_\_\_  
Authorized Signatory\_\_\_\_\_  
Authorized Signatory\_\_\_\_\_  
Authorized Signatory

Date:

Place:



## FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which require Indian financial institutions such as the Banks/other financial entities to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green-card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

<b>FATCA &amp; CRS Indicia observed (ticked)</b>	<b>Documentation required for Cure of FATCA/ CRS indicia</b>
<b>U.S. place of birth</b>	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND</li> <li>3. Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth"</li> </ol>
<b>Residence/ mailing address in a country other than India</b>	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>2. Documentary evidence (refer list below)</li> </ol>
<b>Telephone number in a country other than India</b>	<p>If no Indian telephone number is provided</p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>2. Documentary evidence (refer list below)</li> </ol> <p>If Indian telephone number is provided along with a foreign country telephone number</p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India.</li> </ol>

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
  2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)
- \* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

**Declaration for Common Mobile Number and EMAIL ID in a Family Account.**

Date: 

				<b>2</b>	<b>0</b>	<b>2</b>	
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A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg,  
Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013.

Dear Sirs,

**Re: Opening of Trading and Demat Account.**

With reference to my /our application for opening of a Trading and Demat account with you, I / We hereby declare that I / We want all the SMS and E-Mail alerts on the following Email ID and Mobile No. which are mentioned below respectively as per SEBI Circular No. CIR/MIRSD/15/2011 dated August 02, 2011.

☐ Email ID: \_\_\_\_\_

☐ Mobile No:

Further, I / We confirm that the above details which have been provided by us belong to our Family Member whose details have been provided by us as under:

☐ Name of the family Member:.. \_\_\_\_\_

☐ Relationship with the Client: \_\_\_\_\_


☐ Trading account with Gretex Share Broking Ltd. (if Any):. \_\_\_\_\_

I / We also confirm that this request has been given to the Stock Broker under exceptional circumstances as I / We am / are dependent on our family member whose details have been mentioned in this declaration (above) and I / We further confirm that I / We don't have any objection to this and I / We give full consent in this regard .

Further, 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.

## Thanking You,

Yours Faithfully,

Signature of the Client: (22) 

Client Name: \_\_\_\_\_

Client Code: \_\_\_\_\_

**1. VISION**

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

**2. MISSION**

- To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

**3. Details of business transacted by the Depository and Depository Participant (DP)**

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [<https://www.cdslindia.com/DP/dplist.aspx>] [<https://nsdl.co.in/dpsch.php>]

**4. Description of services provided by the Depository through Depository Participants (DP) to investors****(1) Basic Services**

Sr. No.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion	5 days
4.	Re-conversion of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T day for pay-in of securities.  For T+0 day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T day.  Note: 'T' refers 'Trade Day'

(2) Depositories provide special services like pledge, hypothecation, internet based services etc. in addition to their core services and these include

Sr. No.	Type of Activity /Service	Brief about the Activity / Service
1.	Value Added Services	Depositories also provide value added services such as (1) Basic Services Demat Account (BSDA) <sup>1</sup> (2) Transposition cum dematerialization <sup>2</sup> (3) Linkages with Clearing System <sup>3</sup> (4) Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.

Sr. No.	Type of Activity /Service	Brief about the Activity / Service
2.	Consolidated Account statement (CAS)	CAS is issued within 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions).
3.	Digitalization of services provided by the depositories	<p>Depositories offer below technology solutions and e-facilities to their demat account holders through Dps:</p> <ul style="list-style-type: none"> <li>● E-account opening<sup>4</sup></li> <li>● Online instructions for execution<sup>5</sup></li> <li>● e-DIS / Demat Gateway<sup>6</sup></li> <li>● e-CAS facility<sup>7</sup></li> <li>● Miscellaneous services <sup>8</sup></li> </ul>

## 5. Details of Grievance Redressal Mechanism

### (1) The Process of investor grievance redressal

1.	Investor Complaint/ Grievances	<p>Investor can lodge complaint/ grievance against the Depository/DP in the following ways:</p> <p>a. Electronic mode -</p> <p>(i) SCORES (a web based centralized grievance redressal system of SEBI) [<a href="https://www.scores.gov.in/scores/Welcome.html">https://www.scores.gov.in/scores/Welcome.html</a>] Two Level Review for complaint/grievance against DP:</p> <ul style="list-style-type: none"> <li>● First review done by Designated Body</li> <li>● Second review done by SEBI</li> </ul> <p>(ii) Respective Depository's web portal dedicated for the filing of complaint [<a href="https://investor.nsdl.com/portal/en/home">https://investor.nsdl.com/portal/en/home</a>]</p> <p>(iii) Emails to designated email IDs of Depository [<a href="mailto:relations@nsdl.com">relations@nsdl.com</a>]</p> <p>b. Offline Mode <sup>9</sup></p> <p>The complaints/ grievances lodged directly with the Depository shall be resolved within 21 days.</p>
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	<p>If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. [<a href="https://smartodr.in/register">https://smartodr.in/register</a>]</p>
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ul style="list-style-type: none"> <li>&gt; Investor to approach Market Participant for redressal of complaint</li> <li>&gt; If investor is not satisfied with response of Market Participant, he/she can escalate the complaint on SEBI SCORES portal.</li> <li>&gt; Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</li> <li>&gt; Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days.</li> <li>&gt; If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation.</li> <li>&gt; During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator.</li> <li>&gt; If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</li> </ul> <p>The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.</p>



(2) Illustration of New Grievance Redressal System:  
The flow-chart of New Grievance Redressal System.10

**6. Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant**

Sr. No.	Type of special circumstances	Timelines for the Activity/ Service
1.	<ul style="list-style-type: none"> <li>● Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.</li> <li>● Participant surrenders the participation by its own wish.</li> </ul>	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

**VISION**

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

**MISSION**

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep ‘protection of investors’ interest’ as goal while providing service.

**Services provided to Investors**

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client’s funds.
- Intimation of securities held in Client Unpaid Securities Account (CUSA) Account.
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor’s grievances.

**Rights of Investors**

- Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- Receive complete information about the risks, obligations, and costs of any investment before investing.
- Receive recommendations consistent with your financial needs and investment objectives.
- Receive a copy of all completed account forms and agreements.
- Receive account statements that are accurate and understandable.
- Understand the terms and conditions of transactions you undertake.
- Access your funds in a timely manner and receive information about any restrictions or limitations on access.
- Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- Discuss your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

**Various activities of Stock Brokers with timelines**

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	10 working days of account opening
2.	Client Onboarding	not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	30 days / 90 days for running account settlement (RAS) as per the preference of client.If consent not given for RAS – within 24 hours of pay-out

S.No.	Activities	Expected Timelines
10.	'Statement of Accounts' for Funds, Securities and Commodities	Weekly basis (Within four trading days of following week)
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	30 days from the receipt of the complaint

#### Dos and DON'Ts for Investors

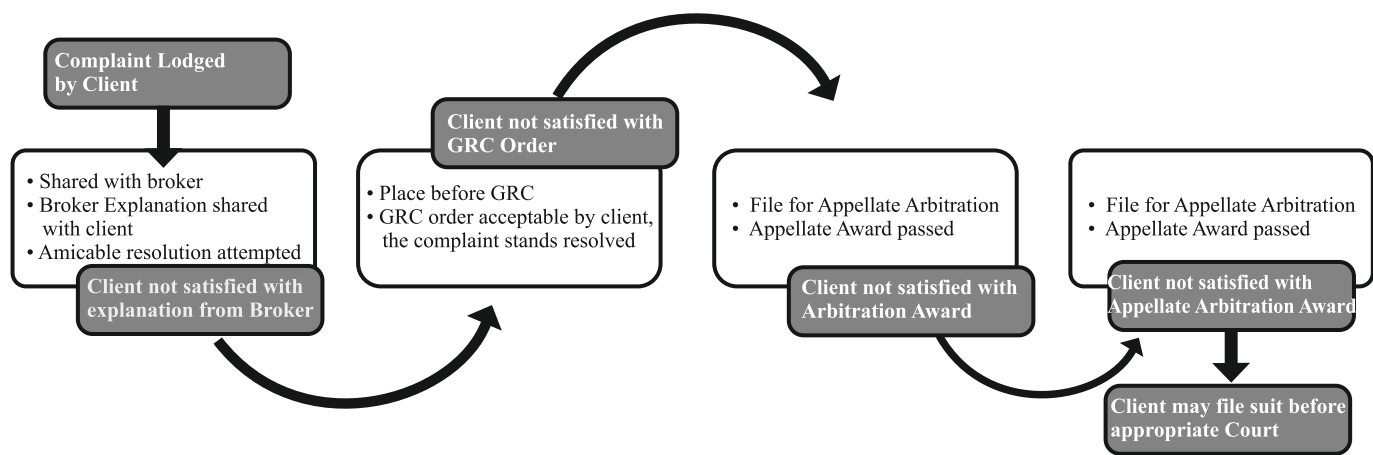
	Dos		DON'Ts
1.	Read all documents and conditions being agreed before signing the account opening form.	1.	Do not deal with unregistered stock broker.
2.	Receive a copy of KYC, copy of account opening documents and Unique Client Code.	2.	Do not forget to strike off blanks in your account opening and KYC.
3.	Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes	3.	Do not submit an incomplete account opening and KYC form.
4.	Receive all information about brokerage, fees and other charges levied.	4.	Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system.
5.	Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions.	5.	Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker.
6.	If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted.	6.	Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.
7.	Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades.	7.	Do not opt for digital contracts, if not familiar with computers.
8.	Receive funds and securities / commodities on time within 24 hours from pay-out.	8.	Do not share trading password.
9.	Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.	9.	Do not fall prey to fixed / guaranteed returns schemes.
10.	Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (30 or 90 days).	10.	Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.
11.	In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines	11.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments.

#### Grievance Redressal Mechanism

**Level 1** – Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

**Level 2** – Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

Complaints Resolution Process at Stock Exchange explained graphically:



#### Timelines for complaint resolution process at Stock Exchanges against stock brokers

S.No.	Activities	Timelines for activity
1.	Receipt of Complaint	Day of complaint © Day).
2.	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3.	Registration of the complaint and forwarding to the stock broker.	C+8 Working Days i.e. T day.
4.	Amicable Resolution.	T+15 Working Days.
5.	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T+16 Working Days.
6.	Complete resolution process post GRC.	T + 30 Working Days.
7.	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8.	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order
10.	If intention from stock broker is received and the GRC order amount is upto Rs.20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF). The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12.	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

#### Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)

##### Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

**Level 3** – The complaint not redressed at Stock Broker / Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

#### Escalation Matrix :

Details of	Contact Person	Address	Contact No.	Email Id
Customer care	Mr. Jignesh Lathigra	A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg, Near Indiabulls Dadar (W), S. V. S. Marg, Mumbai - 400013.	022-69308507	support@gretexbroking.com
Head of Customer care	Mr. Balasaheb Patil	A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg, Near Indiabulls Dadar (W), S. V. S. Marg, Mumbai - 400013.	022-69308516	dp@gretexbroking.com
Compliance Officer	Mr. Premkumar Harikrishnan	A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg, Near Indiabulls Dadar (W), S. V. S. Marg, Mumbai - 400013.	022-6930 8513/14	compliance@gretexbroking.com
CFO	Mr. Deepak Shah	A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg, Near Indiabulls Dadar (W), S. V. S. Marg, Mumbai - 400013.	91-99679 89777	deepak.shah@gretexbroking.com

Note: Monday to Friday Timeing 10:00 AM to 06:00 PM.

In absence of response/complaint not addressed to your satisfaction, you may lodge a complaint with SEBI at <https://scores.gov.in/scores/Welcome.html> or Exchange at <https://investorhelpline.nseindia.com/NICEPLUS/>.

Please quote your Service Ticket/Complaint RefNo. while raising your complaint at SEBI SCORES/Exchange portal.



Particular	Name	Date & Signature
Inward		
Telecalling		
Preliminary Audit		
Data Entry		
Data Verified by		
A/c. Opened by		
Remark if any		

**DP Name:** GRETEX SHARE BROKING LIMITED  
(Formerly Known as Gretex Share Broking Private Limited)

**CIN Number:** U65900MH2010PLC289361

**Depository Services:** National Securities Depository Limited (NSDL)

**SEBI DP Registration Number:** IN-DP-699-2022

**NSDL DP ID:** IN304543

**BSE Segments:**

Cash/ Future & Option/ Currency Derivative/ Commodity Derivative / Mutual Fund

**BSE Member ID:** 6176

**NSE Segments:**

Cash/ Future & Option/ Currency Derivative/ Commodity Derivative / Mutual Fund

**NSE Member ID:** 90287

**AMFI Registration :** ARN - 290324



**Registered Office**

A-401, Floor 4th, Plot FP-616, (PT), Naman Midtown, Senapati Bapat Marg,  
Near Indiabulls, S. V. S. Marg, Dadar (W), Mumbai - 400013.

Email : [compliance@gretexbroking.com](mailto:compliance@gretexbroking.com) • Website : [www.gretexbroking.com](http://www.gretexbroking.com) • Telephone Number: 91-22-6930 8500