



# Gopalji Broking Pvt. Ltd.

Member : NSE (Capital Market, F&O and Commodity Derivative Segment)
BSE (Capital Market, F&O and Currency Derivative Segment)
Depository Participant : CDSL

Client Name
Client Code
Demat Account No.
Date of Registration



Dear Customer,

Welcome to Gopalji Broking!

We look forward to your becoming our client and to the pleasure of serving you. To start with, we request you to kindly fill up the relevant details and submit the required documents.

We have designed the form for ease of completion with simple instructions at relevant places to guide you along.

Should you face any difficulty in understanding the requirements, please do not hesitate to contact our staff who will be ever willing to assist/guide you.

It shall be our endeavor as always, to provide you truly satisfying services.

Regards,

Team Gopalji Broking Pvt. Ltd.



### **GOPALJI BROKING PVT. LTD.**

CIN: U67120DL2004PTC127758

Member: NSE (Capital Market, F&O and Commodity Derivative Segment) - M.S. No.: 90388 BSE (Capital Market, F&O and Currency Derivative Segment) - M.S. No.: 6754

SEBI Regn. No.: INZ000298037, Depository Participant : CDSL

DP ID: 12093100 • SEBI Regn. No.: IN-DP-CDSL-598-2021

Ph.: +91-11-43027981 Ph.: +91-11-43027981

E-mail Id: pooja@gopaljibroking.com E-mail Id: surendra@gopaljibroking.com

Regd. & Corp. Office: 203, Yamuna Tower, Saini Enclave, LSC, Delhi-110092

Ph.: +91-11-43027981, Fax: +91-11-43027981

E-mail: info@gopaljibroking.com Website: www.gopaljibroking.com

#### **CONTACT DETAIL FOR INVESTOR GRIEVANCES**

For any grievance/dispute please contact GOPALJI BROKING PVT LTD. at the above address or email id-info@gopaljibroking.com and Phone No. +91-11-43027981. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd	ignse@nse.co.in	022-62598100
Bombay Stock Exchange Ltd.	is@bseindia.com	022-22728097
Central Depository Services (India) Ltd.	complaints@cdslindia.com	022-22723333, 18002005533



			A broker you can trust
		INDEX OF DOCUMENTS	
S. No.	Name of Document	Brief Significance of the Document	Page No.
	PART - I MANDAT	ORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES	
1	Account Opening Form	A. KYC Form - Part - I Documents captures the basic information about the constituent and instruction/check list (to be sent to KRA)	1 to 2
1.	Account Opening Form	B. KYC Form - Part - II Documents captures the additional information about the constituent relevant to trading account.	3 to 6
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3.	FATCA & CRS Declaration	FATCA & CRS Declaration	8
4.	Rights and Obligations	Document stating the Rights & Obligation of Stock Broker/Trading Member, Sub broker and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)	
5.	Risk Disclosure Document (RDD)	Documents detailing Risk associated with dealing in the Securities Market.	Provided in
6.	Guidance Note	Document detailing Do's & Don'ts for Trading on exchange, for the education for the investors.	soft or paper form as opted by client
7.	Policies & Procedures	Documents describing significant policies and procedures of the stock broker (to be added by the stock broker)	
8.	Rights and Obligations of BO and Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories.	
	PART - II VOLUN	TARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER	
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6.	Schedule of Charges	Schedule of service charges for DP	20
7.	DDPI	For Operating Beneficiary Account	21



#### CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

#### Important Instructions:

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



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For office use only	Application Type*	☐ New	☐ Update		
(To be filled by financial institut	tion) KYC Number			(Mandatory fo	r KYC update request)
	Account Type*	☐ Normal	☐ Simplified (fo	or low risk customers)	☐ Small
☐ 1. PERSONAL DETAIL	LS (Please refer instruction A	at the end)			
		First Name		Middle Name	Last Name
☐ Name*(Same as Aadhaar)					
Maiden Name (If any*)					
Father / Spouse Name*					
Mother Name*					
Date of Birth*		YY			РНОТО
Gender*	☐ M- Male		☐ F- Female	☐ T-Transgender	111010
Marital Status*	☐ Married		☐ Unmarried	☐ Others	
Citizenship*	☐ IN- Indian		☐ Others (ISO 316	66 Country Code )	
Residential Status*	☐ Resident Individual ☐ Foreign National		<ul><li>□ Non Resident In</li><li>□ Person of Indian</li></ul>		
Occupation Type*	☐ S-Service (☐ Priv	ate Sector	☐ Public Sector	☐ Government Sector )	
Occupation Type*	_	essional	_	Retired Housewife	☐ Student)
	☐ B-Business				Signature / Thumb Impression
☐ 2. TICK IF APPLICABI	LE RESIDENCE FOR	R TAX PURPO	OSES IN JURISDIC	ΓΙΟΝ(S) OUTSIDE INDIA (F	Please refer instruction <b>B</b> at the end)
ADDITIONAL DETAILS RE				( )	,
ISO 3166 Country Code of	, , , ,		icked)		
Tax Identification Number					
Place / City of Birth*	, , ,		ISO 3166 Country	Code of Birth*	
•			•		
3. PROOF OF IDENTIT	ΓΥ (Pol)* (Please refer instru	iction <b>C</b> at the e	end)		
(Certified copy of any one of the	following Proof of Identity [Po	ol] needs to be	submitted)		
☐ A- Passport Number				Passport Expiry Da	ite DD-MM-YYYY
☐ B- Voter ID Card					
☐ C- PAN Card					
□ D- Driving Licence				Driving Licence Evniry Da	ite DD-MM-YYYY
☐ E- UID (Aadhaar)				Driving Licence Expiry De	
☐ F- NREGA Job Card					
☐ Z- Others (any document r	notified by the central governm	nent)		Identification Numb	or
☐ S- Simplified Measures /	,			Identification Numb	
4. PROOF OF ADDRE	SS (PoA)*				
☐ 4.1 CURRENT / PERMAN	` '	S DETAILS (Ple	ease see instruction <b>D</b> a	It the end)	
(Certified copy of any one of the		,		,	
	esidential / Business	☐ Reside		Business Rec	gistered Office
* *	assport	☐ Driving		UID (Aadhaar)	
	oter Identity Card		iA Job Card	Others	
	implified Measures Accou	nt - Documen	nt Type code		
Address Line 1*					
Line 2					
Line 3				City / Town /	Village*
District*	Pin /	Post Code*		State / U.T Code*	ISO 3166 Country Code*



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☐ B- Voter ID Card																							
☐ C- PAN Card																							
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☐ F- NREGA Job C	ard																						
Z- Others (any do	cument notified by t	he central gover	nment)							Ide	entif	ficat	ion l	Num	ber								
S- Simplified Mea	asures Account -	Document Typ	e code							ld	entif	ficat	ion l	Num	ber								
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Family Code Group (if any)\_



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Provide a copy of co	ancelled cheque leaf/pa	ss book/bank st	atemen	t spe	ecifyin	ng no	ате	of th	e cli	ent, i	MICR	? Coa	le or/	and I	FSC Co	ode of	the	Bank.
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Depository Particip Name	Name of Deposito	ry Beneficiary	Name				[	OP II	)				Bei	nefici	iary II	) (BC	ID)	
Gopalji Broking Pvt. Ltd.	S NSDL ✓ CD	SL		1	2	0	9	3	1	0	0							
	NSDL CD	SL																
Provide a copy o	f either Demat Client	Master or a i	ecent I	hola	ling s	tate	ете	nt is	sue	d by	DP	bea	ring	nam	ne of i	he cl	ient.	
		C. TR	ADIN	G PI	REFE	RE	NC	ES										
Please sign in t	he relevant boxes wh	ere you wish	to traa	le. P	lease	e str	rike	off t	he s	segn	nent	not	cho	sen k	by yo	ı.		
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Any other infor	<u> </u>																	



		100000 500 00000
		E. PAST ACTIONS
ар		eedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the ts Partners/promoters/whole time directors/authorized persons in charge of dealing in 3 years:
_		
		F. ADDITIONAL DETAILS
Wł	ether you wish to receive	e physical contract note or Electronic Contract Note (ECN) (please specify) :
Sp	ecify your Email id, if appl	icable
Wł	nether you wish to avail of	f the facility of internet trading/ wireless technology (please specify) : YES NO
Nu	mber of years of Investm	ent/Trading Experience :
		G. INTRODUCER DETAILS (optional)
Ná	me of the introducer	
St	atus of the Introducer	Remisier Auth. Person Existing Client Others
	dress and Ph. No. of the roducer	
Sig	gn. of the Introducer	
		PMLA DECLARATION
l		having the trading code nowith GBPL confirm and declare
ex		nderstood the contents and the provisions of the PMLA Act, 2002 and it was also ial. I further declare that I shall adhere to the rules and regulations and requirements
		DECLARATION
1.	and I/we undertake to i	at the details furnished above are true and correct to the best of my/our knowledge and belief inform you of any changes therein, immediately. In case any of the above information is found imisleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2.	I/We confirm having rea the stock broker and th	nd/been explained and understood the contents of the document on policy and procedures of e tariff sheet.
3.	Disclosure Document'.	aving read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We ed that the standard set of documents has been displayed for Information on stock broker' ny.
Plac	e	
	2	



#### **NOMINATION FORM - TRADING AND DEMAT ACCOUNTS**

(Annexure-A)

(To be filled in by individual applying singly or jointly)

### **Gopalji Broking Pvt. Ltd.**

Regd. & Corp. Office: 203, Yamuna Tower, Saini Enclave, LSC, Delhi-110092

DATE	D	D	M	M	Υ	Υ	Υ	Υ	UCC				
DP ID									Client ID				

I/We wish to make a nomination. [As per details given below]

#### **NOMINATION DETAILS**

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my / our death.

No thr	mination can be made upto ree nominees in the account	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)			
2.	Share of each   Equally	%	%	%
	percentage]	Any odd lot after division si	hall be transferred to the first nomine	e mentioned in the form.
3.	Relationship with the Applicant (if any)			
4.	Address of Nominee(s)			
	City / Place			
	State / Country			
	PIN Code			
5.	Mobile/Telephone No. of Nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details - [Please tick any one of following and provide details of same]  Photograph & Signature PAN AADHAAR Saving Bank A/c No. Proof of Identity Demat Account ID			
Sr	. Nos. 8-14 should be filled	l only if nominee(s) is a minor	:	
8.	Date of Birth (in case of minor nominee(s))			
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10.	Address of Guardian(s)			
	City / Place			
	State / Country			
	PIN Code			
11.	Mobile/Telephone No. of Guardian			
12.	Email ID of nominee(s)			



											-	broker you can trus
13. Relationship of with nominee	Guardia	n										
14. Guardian Identifica [Please tick any one and provide details	of following of same]	ng										
Photograph 8	-	re										
Saving Bank												
Proof of Iden	-											
Demat Accou	int ID											
			Nar	ne(s) of I	Holder(s)				Sig	nature(s	s) of Holo	der
Sole/First Holder (Mr./Ms.)												
Second Holder (Mr./Ms.)												
Third Holder (Mr./Ms.)												
This nomination shall The Trading Member	/ Deposit	ory Pa	articipaı		vide ackno	ow <b>l</b> edgem	ent of the	nominati				(s). nexure-B)
To, <b>Gopalji Brokin</b> Regd. & Corp. Offic Saini Enclave, LSC,	<b>g Pvt.</b> te : 203,	<b>Ltd.</b> Yamı	, una To									ĺ
DATE D D M	MY	Υ	YY	UCC						_		
DP ID				Client ID								
Sole/First Holder Na	ame			Client ID								
				Client ID								
Sole/First Holder Na	ne			Client ID								
Sole/First Holder Na	irm tha sues inv lder(s), held in	olve my/ my/	d in no our leg ' our tr	not wish and a point with a point wish a point wish a point with a poi	to appoi ntment c would ne emat acc	of nominated to su count, w	ee(s) an bmit all hich ma	d further the requ y also in	r are awa iisite doo clude do	are that in cuments ocuments	n case of / inform s issued	death o ation fo



				A broker you can trust.
	BROKERAGE STRU	JCTURE		
	CAPITAL MARKET SE	GMENT		
Brokerage Slab	Slab in %		N	linimum per Share
Delivery Based				<u> </u>
Square Off				
	F & O SEGMEN	1T		
Brokerage Slab	Slab in %	Deli	very	Minimum per Lot
Future				
Options				
	CURRENCY DERIVATIVE	S SEGMENT	Г	
Brokerage	Slab in %		Minimu	um Brokerage per Lot
	OTHER CHARG	ES		
In addition to brokerage defined herein are subject to change from time to time Charges levied by Central Governmenther Statutory / Legal Authorities:  a) Securities Transaction Tax; b) Stamp Duty; c) GST; d) SEBI Turnover Fees; e) Stock Exchange's Transaction Chaf) Clearing charges charged by Clear Other Charges ** a) Late pay-in/delayed payment chanbook All such charges / penalties that mestatutory authority due to any act. c) In addition to the above, appropriated by the client in addition to the ST at applicable rates shall addition	ent, State Governments, ent, State Governments, rges with GST; ring Corporation / Clearing rges upto 24% p.a. hay be levied upon Gopalji lommission/negligence, woriate charges shall also be services/facilities as per de	SEBI, Stock  Member with  Broking Pvt.  hether wilfule  levied for  fined Rights	Exchanges, ( h GST; Ltd. by stock of or otherwise all such servi and Obligation	exchanges/SEBI/any other c, on part of the client ices/facilities that may be ons
			(Signa	ature of Client)
DISCLOSURE OF PROF Dear Client, In term of SEBI circular No. SEBI/MRD/SE client about the proprietary trades. In view of this circular, we wish to infor Commodity Derivative segment of NSE an I have noted the above	EC/Cir-42/2003 dated 19th N m you that, we do propriet d BSE	November, 20	003, member i	is required to disclose to its



FATCA & CRS Declaration
PAN
f yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.
Sr. No. Country Tax Identification Number Identification Type (TIN or Other, please specify)
1.       2.       3.
DECLARATION
I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Gopalji Broking Pvt. Ltd. for any modification to this information promptly.  I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).
Client Signature Client Signature
Date: DDDMMYYYYY Place:
For Investor convenience, Gopalji Broking Pvt. Ltd. (GBPL) collecting this mandatory information for updating across all Group Companies of GBPL whether you are already an investor or would become an investor in future.
Please submit the form fully filled signed for all the holders separately and submit at your pearest GRPI branch of

you can dispatch the hard copy to-

Gopalji Broking Pvt. Ltd.

Regd. & Corp. Office: 203, Yamuna Tower, Saini Enclave, LSC, Delhi-110092

<sup>•</sup> For Detail Terms & Conditions please visit www.gopaljibroking.com



#### **LETTER OF AUTHORISATION**

То,	Datad	
Gopalji Broking Pvt. Ltd.	Dated	_
Regd. & Corp. Office : 203. Yamuna Tower.		

#### Sub: Letter of Authority - NSE & BSE

Saini Enclave, LSC, Delhi-110092

I/We am/are dealing in shares/securities with you at BSE in various segments and in order to facilitate ease of operations. We authorize you as under :

#### 1. Delivery of order/trade confirmation/cancellation:

I/We hereby authorize you not to provide me / us order confirmation / Modification / Cancellation Slips and Trade Confirmation slips to avoid unnecessary paper work. I/we shall get the required details from contract notes and confirmation issued by you.

#### 2. Telephonic Conversation:

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.

### 3. Adjustment of balance in Family Accounts:

SI. No.	Client Code of Family Members/Associates	Name of Family Members /Associates	Category	Name of Father / Spouse

below). I further understand that the above adjustment shall not be valid for monthly / quarterly settlement of accounts.	obligation of any other segment outstanding in my or any of the account of above mentioned family members or any other party or company with whom / in which I'm interested as the director (Name giver
or accounts.	
	oraccounts.

I/We authorize you to adjust the credit balance available in my account of any segment, against any margin

#### 4. Set off of outstanding:

I/We authorize you to set off outstanding in any of my / our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange and / or against the value of cash margin or collateral shares provided to you by me / us. I further authorise you to debit the financial charges @ 18% per annum of the outstanding debit balance, if any, in my account and not settled as per the exchange requirement.

#### 5. Fines & Penalties:

All fines/penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my account.

Signature:

(9)



#### 6. Charges & Balance Maintenance:

I/We have a Trading As well as depository relationship with Gopalji Broking Pvt. Ltd. Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

#### 7. Authority for intimation

I/ we shall authorise you to send SMS and email to registered email/ mobile no. in respect of my Trading and Demat account.

#### 8. Facsimile Authorisation

During the operation of my trading I may require to place order instructions through Fax/Scan, I therefore authorise you to honor the instruction and orders send through Fax/Scan copy send by me/ us.

#### 9. Pro Trading Intimation:

I/We have been informed that GBPL is doing Pro trading in addition to trading for clients.

**10.** I/We have been explained that I/We may not opt to give any of the above authorisation and that the above authorisations are voluntary on my/our part and that I/We can revoke this authorisation at any point of time during the operation of my/our trading account with you by giving you a notice in writing.

### For and On Behalf of Constituent Thanking you, Yours faithfully Signature: Name: \_\_\_ To. Date : \_\_\_\_ **Gopalji Broking Pvt. Ltd.** Regd. & Corp. Office: 203, Yamuna Tower, Saini Enclave, LSC, Delhi-110092 Dear Sir, In terms of SEBI Circular No. CIR/MIRSD/64/2016 dated July 12, 2016, I/We have the option of receiving the following documents either electronically or physically: Rights & Obligations of stock broker, auth. person and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading); Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and b. depositories; c. Uniform Risk Disclosure Documents (for all segments/ exchanges); and Guidance Note detailing Do's and Don'ts for trading on stock exchanges. d. Policies and Procedures as per SEBI Circular No. MIRSD/SE/CIR-19/2009 dated 03rd December, 2009 Accordingly, I wish to receive the abovesaid documents in the below mentioned manner: Electronically Physically

Client Name :

Gopalji Broking Pvt. Ltd.

To,



Dated \_\_\_\_\_

#### **RUNNING ACCOUNT AUTHORISATION**

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker and the client. The same are required for maintaining the account of the Client on a running basis. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document, in which eventuality; the stock broker shall maintain the account of the client on a settlement basis)

_	d. & Corp. Office : 203, Yamuna Tower, i Enclave, LSC, Delhi-110092
Sub	: Running Account Authorisation
	e / are/ shall be maintaining a trading account with you for the purpose of doing trading transactions and in er to facilitate ease of operations. I/ we authorize you as under:
1.	My/ our trading account w.r.t funds transactions may please be maintained on a running basis i.e. the funds pay out due to me/ us on the date of pay- out may be retained with your good selves and adjusted towards my/ our future margin obligations and/ or funds pay-in obligations.
2.	While settling my/ our trading account on a periodical basis, you may retain my/ our funds only to such extent as may be allowed as per applicable directives/ guidelines issued by Stock Exchanges/. SEBI.
3.	I/ we confirm that I/ we shall bring to your notice all the discrepancies/ disputes, if any, arising out of statements sent to me/ us at the time of my/ our periodical settlement, within a period of 30 working days from the date of such statements.
4.	I/ we reserve my/ our right to revoke this authorization at any time without any prior notice by submitting a written request with your goodselves:
5.	I/ we would prefer to get my/ our trading account actually settled as per the periodicity indicated herein after:
	Once in every 30 days Once in every 90 days
	nking you rs faithfully,
Sign	pature:
Clie	nt Name :
Clie	ent Code :



### **AUTHORISATION FOR ELECTRONIC CONTRACT NOTES**

To, <b>Gopalji Broking Pvt. Ltd.</b> Regd. & Corp. Office: 203, Yamuna Tower,  Saini Enclave, LSC, Delhi-110092	Dated
I/We have been/shall be dealing through you as may/our broken Segment and/or Currency Derivatives Segment and/or Commodity Future and Options Segment. As my/our broken carry out trading/dealings on my/our behalf as per instruction	or Interest Rate Futures Segments and/or i.e. agent I/We direct and authorize you to
I/We understand that, I/We have the option to receive the ledger/margin statement and other documents in physical for same, I/We hereby opt to receive contract notes/financial ledger/margin statement in electronic form. I/We understand that for from the client "an appropriate email account" for you to send ledger/margin statement and other documents. Accordaccount(s)/email id on your record for sending the contract not send that for sending the contract not send that for sending the contract not send that send	orm or electronic form. In pursuance of the dger/security ledger/margin statement and the above purpose, you are required to take the contract notes/financial ledger/security dingly, please take the following email
1	
2	
I/We also agree that non-receipt of bounced mail notification email account(s)/ email id(s).	n by you shall amount to delivery at my/our
I/We agree that the log reports of your dispatching softward contract notes to me/us and such dispatch shall be deemed disputed by me/us.	·
I/We understand that I/we am/are required to intimate a mentioned herein above needs to be communicated by me/u however that if I/We am/are an internet client then in that evaccount can be made by me/us through a secured access using	us through a physical letter to you, provided ent the request for change in email id/email
Please treat this authorization as written ratification of my/ou carried out by you earlier.	ur verbal directions/authorizations given and
I/We shall be liable for all losses, damages and actions which r to and carrying out my/our directions given above.	may arise as a consequence of your adhering
This authorisation is voluntary & can be revoked at any time by	y giving notice in writing.
Thanking you,	
Yours faithfully	
Client Signature : Client Name :	



## ADDITIONAL DETAILS FOR OPENING A DEMAT ACCOUNT (FOR INDIVIDUAL)

				IDENTITY D	ETAIL	S								
Application No.					Da	te								
DP Internal Refere	ence No.						·							
DP ID		1	2093100		Cli	ent ID	)							
				HOLDERS D	ETAII	c	'							
				HOLDERS D										
Sole/First Holder's Name					PA									
					UC	С								
Second Holder's					PA	N								
Name					UI	)								
Third Holder's					PA	V								
Name														
Name*														
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.														
	Т	YPE C	F ACCOUN	IT (Please ticl	c whic	heve	er is a	pplica	able)	)				
		ndivid	dividual Resident 🔲 Individual Director							Indiv	idua <b>l</b> [	Direct	or's R	elative
Individual		Individ	ual HUF/AOP	dividu	ıal Pror	noter		Mino	r					
		Individu	dual Margin Trading A/c (Mantra) 🔲 Othe					y)						
	DET	TAILS	OF GUARD	IAN (in case t	he ac	coun	t hole	der is	min	or)				
Guardian's Name						PAN	1							
Relationship with the	e app <b>l</b> ican	t												
I/We instruct the D (if not marked, the					accou	nt				itoma Yes	tic Cre	_		
I/We would like to i account without ar (if not marked, the	ny other f	urther	instruction fi	rom my/our end		in my	y/our			Yes	□ N	0		
Account Statement	Requirer	nent	As per SEBI	Regulation 🗌	Daily		Wee	kly 🔲	Fo	rtnigl	ntly [		vonth	ıly 🔲
I/We request you to send Electronic Transaction-cum-Holding Sta						ent at	the			Yes	□N	0		
I/We would like to share the email ID with the RTA										Yes	□N	0		
I/We would like to r	receive th	e Annı	ual Report	Physical	El	ectroi	nic [	Botl	n Phy	sical a	and El	ectro	nic	
(Tick the applicable				<u>'</u>										
Do you wish to receive dividend/interest directly in to your bank account given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]										Yes	□N	0		



						A broker you can trust					
	BANK DE	TAILS (Div	vidend	Bank Details)							
Bank Code (9 digit MICR Code)											
IFS Code (11 Character)											
Account Number											
Account Type	Saving	Current [		Others (specify)							
Bank Name											
Branch Name											
Bank Branch Address	City		State		Country						
PIN					·						
<ol> <li>Photocopy of the cancel</li> <li>Photocopy of the Bank S</li> <li>Photocopy of the Passb</li> <li>Letter from the Bank. In case of option (ii), (iii)</li> </ol>	Statement having rook having name a	name and ad and address	ddress of the	of the BO. BO, (or)	·						
SMS Alert Facility Refer to Terms & Conditions given	MOBILE No.: +91		☐ Yes ☐ ſ	No							
as Annexure 2.4	[Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).										
Transaction Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6  I wish to avail the TRUST facility using the Mobile number registered for SMS Alert I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I wish to avail the TRUST facility using the Mobile number registered for SMS Alert I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I wish to avail the TRUST facility using the Mobile number registered for SMS Alert I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood the Terms and Conditions prescribed by CDSL for the secured Texting Facility I have read and understood Texting Facility I have read and unde											
	Stock Exchange Na	ame/ <b>I</b> D	Clearing	g Member Name	Clearing Mer	nber ID (Optiona <b>l</b> )					
Easi				website www.cd ances, transaction		he portfolio online.					
		DECLA	RATIO	N							

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

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

(Signatures should be preferably in Black ink)

#### **VOLUNTARY**



#### **Gopalji Broking Pvt. Ltd.**

#### (Depository Participant - CDSL) DPID: 12093100, DP SEBI Regn. No. IN-DP-CDSL-598-2021

Regd. & Corp. Office: 203, Yamuna Tower, Saini Enclave, LSC, Delhi-110092 Ph.: +91-11-43027981, Fax: +91-11-43027981, E-mail: info@gopaljibroking.com

#### Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

#### (SMS Alerts will be sent by CDSL to BOs for all debits)

#### **Definitions:**

following meaning unless indicated otherwise.

#### Fees, Charges and deposits

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

#### Availability:

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

#### **Receiving Alerts:**

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



 If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

#### Fees:

Depository reserves the right to change such fees from time to time as it deems fit for providing this service to the BO. **Disclaimer:** 

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

#### **Liability and Indemnity:**

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

#### Amendments:

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

#### Governing Law and Jurisdiction:

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

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

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

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

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

DP ID	12093100	
BO ld		
Sole/First Holder's Name		
Second Holder's Name		
Third Holder's Name		
Mobile No. on which messages are to be sent (Please write only the mobile number without prefixing country code or zero)		
The Mobile Number is registered in the name of		
(Please write only ONE valid Email Id on which communication; if any, is to be sent)		
Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder
IN CASE OF JOINT HOLDING, ALL JOINT HOL *Please do not use correction fluid, all cutt		t holder(s).
Place : Delhi		Date:// 20/ 20



### **SMS / E-MAIL ALERT DECLARATION FORM**

To,

### **Gopalji Broking Pvt. Ltd.**

Regd. & Corp. Office: 203, Yamuna Tower,

Saini Enclave, LSC, Delhi-110092

Subject : Trading Accour	nt No	and Demat Ac	count No.	
Dear Sir / Madam,				
I/We, Mr./Mrs./M/sother communications wit			would like to I hange/Depository/DP/Trad	Email/SMS alerts and ing Member.
Please update my/my far Account.	mily member's below	mentioned Email Id and	d/or Mobile No. in my tra	ding account / Demat
Email Id:				
Mobile No.:				
My relationship with the ho	older of above Email Id	& Mobile No. is an menti	oned below.	
• Self	• Spouse	• Dependent Child	• Dependent Parent	
Master PAN (Applicable if Email id is to be provided)	relationship is other th	nan self, PAN of the indiv	vidual holding the above M	obile Number and / or
However, in case of any fur	ther regulatory requir	ements, I/we undertake 1	to abide upon hearing from	you.
Thanking You,				
Yours truly,				
Signature of the Account H	lolder			
Name of the Account Hold	er:			

#### Note:

- 1. On successful registration the Exchange may seek confirmation by way of Email/SMS which needs to responded to get the Email/SMS alerts and other information.
- 2. This form is applicable for individuals only.



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First Hold	ler Nan	ne						'				'					<b>!</b>					
Second H	o <b>l</b> der N	lame																				
Third Hol	der Na	me																				
To, Gopalji Regd. & C Saini Encl Dear Sir / N I / We here  OPTI I / We requ Power of attorney / C effected thr Yours faithi	Corp. Cave, Ladam, by state on the you Attorned learing ough su	Office SC, D , e that to iss to iss Memb	: 203, relhi-11 : : ue Delive A) / ex	Yamun 0092 ery Instru ecuted 5 manage	uction PMS a	[Select Slip (D agreem executi	IS) bool ent in ng de <b>l</b> iv	klet to favou	me ur c	of / with	ening r										_ (r	name
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Name																						
Signature	es																					
	ON 2								01	R												
I / We do n agreement for executin PMS manag Yours faith	in fav g de <b>l</b> ive er. Hov	our o	f / with tructions	for setti	ng stoc	k exch	ange tr	ades [s	sett <b>l</b> e	(i	name ed tran	of at	torn ns] e	ey / effec	Cle	earin throu	g Mo	emb uch	er / C <b>l</b> eai	PM ring	1S n Men	nanage nber / I
			Fir	st / Sol	e Hol	der			Se	cond Join	t Hold	der				1	hird	l Joi	nt F	Holo	ler	
Name																						
Signature	es	ď																				



### DECLARATION FOR AVAILING OF BASIC SERVICE DEMAT ACCOUNT (BSDA) FACILITY

GOPAL JI BRO Regd. & Corp. Off Saini Enclave, LSC	ice : 203, Y	'amuna To						Date	D	D	IVI	IVI	Y	Υ	Υ	Υ
Dear Sir / Madar		.1	A C 11.								1					
opening fo		the BSD	A facili	ty for th	ie new	account fo	r which	n we	hav	e su	ibmitt	ed	my /	our	acc	ount
I / We do account o			the BSE	DA facilit	y for tl	he new acc	ount fo	or wh	nich	we	have	sub	mitte	ed m	ıy /	our
☐ I / We wis	h to avail	the BSD	A facili	ty for m	ıy / our	below me	ntione	d der	mat	acco	ount r	านท	าber.			
I / We do	not wish	to avail t	:he BSE	)A facilit	y for n	ny / our be	low me	entio	ned	den	nat ad	:cou	unt n	umb	er.	
		Applicat	ion No.													
DP ID 1	2 0	9	3	1 0	0	Client ID										
				NAM								PAI	 N			
Sole/First Holde	r															
Second Holder																
Third Holder													$\perp$			
Account and un comply with the in case our dem as per guidelin converted to regular account	ndertake guideling at accour es issued gular dem ints as inf	to comp es issued nt opene l by SEBI nat accou ormed b	ly with by any d / con or ang int with y the D	the aformation the such as werted to the such as well	oresaid uthorit under B author ther ref	y for BSDA SSDA facility ity at any <sub>l</sub>	s from facility / does point c	time from not n of tim and v	e to n tim neet ne, r vill b	time the the my/o e le	e. I/W time eligik our B	/e a . I/V pilit SD/	also u Ve als sy for A acc	unde so ag BSD coun	ertak gree A fa t wi oplic	ke to that cility Ill be
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		Sig	nature			]										
Sole/First Holder																
Second Holder																
Third Holder																

#### **MANDATORY**



#### SCHEDULE OF SERVICES CHARGES FOR DP SERVICES

SCHEME	SCHEME - A	<b>SCHEME – B</b> (For Individual A/c only) Rs. 1000/- (Non Refundable) for Nil Life Time AMC
1. Account Opening Charges	Nil	Nil
2. Account Maintenance Charges	Rs. 200/- per annum (For Individual Account) Rs. 1500/- per annum (For Corporate Account)	Nil
3. Stamp Paper & KRA Charges	As per applicable	As per applicable
4. Dematerialisation Charges	Rs. 50/- Per DRF plus Rs. 5/- per certificate plus courier charges	Rs. 50/- Per DRF plus Rs. 5/- per certificate plus courier charges
5. Rematerialisation Charges	Rs. 25/- per every 100 securities or part thereof; or a flat fee of Rs. 20/- per certificate whichever is higher will be payable plus courier charges	Rs. 25/- per every 100 securities or part thereof; or a flat fee of Rs. 20/- per certificate whichever is higher will be payable plus courier charges
6. Custody	Nil	Nil
7. Transaction Charges (per transaction) (a) Receipt/Purchase (b) Delivery/Sale	Nil 0.01% (Minimum Rs.15/-)	Nil 0.01% (Minimum Rs.15/-)
8. Pledge Charges (per transaction) Creation Invocation/Closure	Rs. 50/-	Rs. 50/-
9. Margin Pledge per transaction/	Rs. 15/-	Rs. 15/-
Release of Margin Pledge Margin Re-Pledge per transaction/ Release of Margin Re-Pledge	Rs. 10/-	Rs. 10/-
10. Easiest Subscribers (Password User)	Rs. 100/- p.a.	Rs. 100/- p.a.
11. Instruction Booklet (1st Book Free)	Rs. 40/- plus courier charges	Rs. 40/- plus courier charges

#### In addition to the above, the following out of pocket expenses shall also be charged.

- 1. Failed Instruction Intimation : Rs. 20/- per intimation per instruction
- 2. Additional Statement of Holding/Transaction: Rs. 5/- per page + Postage as per actuals.
- 3. Incase of demat rejection, postage charges shall be charged @ Rs. 35/- for dispatch of share certificates to the clients.
- 4. Any Modification in client master will be charged @ Rs. 50/- per modification.
- 5. Any other services not specified above shall be charged extra.
- 6. Taxes and other government fee/charges shall be levied extra, as applicable from to time.
- 7. Charges for DP services in respect of clients having trading account/s with GOPALJI BROKING PVT. LTD. will be debited to their trading accounts.
- 8. Late payment charges @ 24% p.a. shall be levied.
- 9. GOPALJI BROKING PVT. LTD. may suspend/freeze the depository services of the account holder in case of non-payment of outstanding bill till the time of actual clearance of debit balance.

10.	Above ch	narges	are subject	to revision as	per	GOPALJI	BROKING	PVT.	LTD. so	le c	discretion	after	providing	g 30	days'	prior	notice
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lease Tick : Scheme – A S	cheme – B	
Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder



### DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

Client UCC Code	
Demat / Client - ID	
Date	
Place	

I/We request to activate the DDPI facility for following purposes :-

Purpose 1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement	Signature of Sole/First Holder				
	obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	Signature of Second Holder				
		Signature of Third Holder				
Purpose 2	Pledging / re-pledging of securities in favour of M/S Gopalji Broking Pvt. Ltd. as a trading member (TM) / clearing member (CM) for	Signature of Sole/First Holder				
	the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	Signature of Second Holder				
		Signature of Third Holder				
Purpose 3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	Signature of Sole/First Holder				
		Signature of Second Holder				
		Signature of Third Holder				
Purpose 4	Tendering shares in open offers through Stock Exchange platforms	Signature of Sole/First Holder				
		Signature of Second Holder				
		Signature of Third Holder				

			5=				
		Sta	2 MF				
Broker/Agent Code	ARN:	SMARTI	SUB-BROK	ER:	EUIN:		
Unit Holder Inform	ation				L.		
Name of the First A	pplicant :						
PAN Number :		KYC:		Date of Bir	th:		
Father Name :		1 0.		Mother Na			
Name of Guardian :				PAN:	inic .		
Contact Address :				PAIN.			
Contact Address :							
City:	Pincode	•		State :	Country:		
Tel.(Off) :	Tel.(Res)			Email :	jee amary .		
Fax (Off):	Fax (Res)			Mobile :			
Income Tax Slab/Ne		•		Occupation	n Details		
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Tax Id No. :	naman / Delete !	to Dollatic III		-n at- 7	Voc NI-		
Politically exposed	person / Related	to Politically 6	exposea perso	1	Yes No		
Mode of Holding:				Occupation	า:		
Name of Second Ap	oplicant :						
PAN Number :		KYC:		Date of Bir			
Income Tax Slab/Ne	etworth :			Occupation	n Details		
Place of Birth:		Country of	Tax Residence	e:			
Tax Id No. :							
Politically exposed (	person / Related	to Politically e	exposed perso	n etc.?	Yes No		
Name of Third App	licant :				•		
PAN Number :		KYC:		Date of Bir	th :		
Income Tax Slab/Ne	etworth :			Occupation	n Details		
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City:	Pincode	:		Country :			
Bank Mandate Det	ails			T			
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A/C No. :	A/c Type	:		IFSC Code:			
Bank Address:							
011	le: i			la	To .		
City:	Pincode	:		State :	Country :		
Nomination Details	<b>3</b>			T			
Nominee Name :				Relationship:			
Guardian Name (If I		r) :					
Nominee Address :							
City:	Pincode			State :			
Declaration and Signa	ature_			•			
I/We confirm that de	tails provided by m	e/us are true a	and correct. The	ARN holder l	has disclosed to me/us all the		
					r the different competing		
Schemes of various N							
		-					
Date :			Place :		T		
1st applicant Signat	ure :	2nd annlice	ant Signature	:	3rd applicant Signature :		
applicant signat	1st applicant Signature :			•	2. a applicant signature .		



### **FACT SHEET**

AUTHORISED PERSON CLIENT DETAILS				
Name	Code	Signature		

CLIENT MAPPING DETAILS					
Name of Sales Executive	Mapping Code of Sales Executive				



A broker you can trust...

## Gopalji Broking Pvt. Ltd.

CIN No: U67120DL2004PTC127758

**Member : BSE (Capital Market, F&O and Currency Derivative Segment)** 

SEBI Regn. No.: INZ000298037, Membership No.: 6754

Depository Participant : CDSL

SEBI Regn. No.: IN-DP-CDSL-598-2021 • DP ID : 12093100

#### Regd. & Corp. Office:

203, Yamuna Tower, Saini Enclave, LSC, Delhi-110092 Ph.: +91-11-43027981, Fax: +91-11-43027981

E-mail: info@gopaljibroking.com, Website: www.gopaljibroking.com