



NON-INDIVIDUALS



A broker you can trust...

Gopalji Broking Pvt. Ltd.

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

Client Name.....

Client Code

Demat Account No.

Date of Registration.....



A broker you can trust...

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.

BROKING PVT. LTD.**CIN : 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

Compliance Officer's Name : Miss Pooja Gupta

Ph.: +91-11-43027981

E-mail Id: pooja@gopaljibroking.com

CEO's Name : Mr. Surendra Kumar

Ph. : +91-11-43027981

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.
Bombay Stock Exchange Ltd.	is@bseindia.com	022-22728097
Central Depository Services (India) Ltd.	complaints@cdslindia.com	022-22723333, 18002005533

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5.	Risk Disclosure Document (RDD)	Documents detailing Risk associated with dealing in the Securities Market.	
6.	Guidance Note	Document detailing Do's & Don'ts for Trading on exchange, for the education for the investors.	
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CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individuals
Important Instructions:

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


For office use only
(To be filled by financial institution)

Application Type*

☐ New

☐ Update

KYC Number

(Mandatory for KYC update request)
☐ **1. ENTITY DETAILS*** (Please refer instruction A at the end)

☐ Name*

 Entity Constitution Type* ☐ Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* DD - MM - YYYY

Date of Commencement of Business DD - MM - YYYY

Place of Incorporation / Formation*

Country of Incorporation / Formation* TIN or Equivalent Issuing Country

 PAN* ☐ Form 60 furnished

TIN / GST Registration Number

☐ **2. PROOF OF IDENTITY (PoI)*** (Please refer instruction B at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn. Certificate No.

☐ Memorandum and Articles of Association

☐ Partnership Deed

☐ Trust Deed

☐ Resolution of Board / Managing Committee

☐ Power or attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ **3. ADDRESS*** (Please refer instruction C at the end)

3.1 Registered Office Address / Place of Business*

 Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2

Line 3

District

Pin / Post Code*

City / Town / Village*

State / U.T. Code*

ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3

District

Pin / Post Code*

City / Town / Village*

State / U.T. Code*

ISO 3166 Country Code*

☐ **4. CONTACT DETAILS** (All communication will be sent to Mobile number / E-mail ID provided may be used) (Please refer instruction D at the end)

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

☐ **5. NUMBER OF RELATED PERSONS** (Please refer instruction E at the end)

7. APPLICANT DECLARATION (Please refer Instruction G at the end)

-

Signature / Thumb Impression of Authorised Person(s)

[illegible]

8. ATTESTATION / FOR OFFICE USE ONLY

☐ Certified Copy☐ Equivalent e-document

KYC / IN-PERSON VERIFICATION CARRIED OUT BY

Place

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

[Employee Signature]

INSTITUTION DETAILS

[illegible]

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorised Signatory(ies)

Date dd / mm / yyyy

PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person

ADDITIONAL DETAILS FOR TRADING ACCOUNT (FOR NON-INDIVIDUALS)

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current		
			<input type="checkbox"/> Saving <input type="checkbox"/> Current		

Provide a copy of cancelled cheque leaf/pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the Bank.

B. DEPOSITORY ACCOUNT(S) DETAILS (THROUGH WHICH TRANSACTIONS SHALL GENERALLY BE ROUTED)

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
Gopalji Broking Pvt. Ltd.	<input type="checkbox"/> NSDL <input checked="" type="checkbox"/> CDSL		1 2 0 9 3 1 0 0	
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

Provide a copy of either Demat Client Master or a recent holding statement issued by DP bearing name of the client.

C. TRADING PREFERENCES

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

Market Segment/s

<input type="checkbox"/> BSE Cash	<input type="checkbox"/> BSE F&O	<input type="checkbox"/> BSE CDS
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ONLINE / OFFLINE PREFERENCES

Capital Market (BSE), Derivative (BSE)	<input type="checkbox"/> Offline <input type="checkbox"/> Online
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D. FINANCIAL & OCCUPATION DETAILS

Gross Annual Income Details: Income Range per annum :

☐ Below Rs. 1 Lac
 ☐ Rs. 1 Lac to 5 Lac
 ☐ Rs. 5 Lac to 10 Lac
 ☐ Rs. 10 Lac to 25 Lac
 ☐ Rs. 25 Lac to 1 Crore
 ☐ >1 Crore

Net Worth (Net worth should not be older than 1 year) Amount Rs
as on (date).....

Occupation (please tick any one and give brief details)

☐ Private Sector
 ☐ Public Sector
 ☐ Government Service
 ☐ Business
 ☐ Professional Agriculturist
☐ Retired
 ☐ Housewife
 ☐ Student
 ☐ Others _____

Please tick, if applicable (Note : In case of Non-individuals please tick, if applicable for any of your authorised signatories/ Promoters/Partners/Karta/Trustees/whole time directors) :

☐ Politically Exposed Person (PEP)
 ☐ Related to Politically Exposed Person (PEP)

Any other information _____

Family Code Group (if any) _____

E. 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 :

F. DEALINGS THROUGH AUTH. PERSON AND OTHER STOCK BROKERS

If client is dealing through the Auth. Person, provide the following details:

Auth. Person's Name					
SEBI Registration number					
Registered office address					
Phone		Fax		Website	
Whether dealing with any other stock broker/auth. person (in case dealing with multiple stock brokers/sub-brokers, provide details of all)					
Name of stock broker					
Name of Auth. Person, if any :					
Client Code		Exchange			
Details of disputes/dues pending from/to such stock broker/auth. person :					

G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Specify your Email id, if applicable

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) :

Number of years of Investment/Trading Experience :

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:

PHOTOGRAPH Sign across the Photograph		PHOTOGRAPH Sign across the Photograph	
Name		Name	
Designation		Designation	
PAN		PAN	
UID		UID	
Residential Address		Residential Address	
Signature		Signature	
Any other information		Any other information	

H. INTRODUCER DETAILS (optional)

Name of the introducer					
Status of the Introducer	Sub Broker <input type="checkbox"/>	Remisier <input type="checkbox"/>	Auth. Person <input type="checkbox"/>	Existing Client <input type="checkbox"/>	Others <input type="checkbox"/>
Address and Ph. No. of the Introducer					
Sign. of the Introducer					

PMLA DECLARATION

I _____ having the trading code no. _____ with GBPL confirm and declare that I have read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained by GBPL official. I further declare that I shall adhere to the rules and regulations and requirements mentioned in the PMLA Act, 2002.

DECLARATION

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

Place _____

Date _____

Client Signature



BROKERAGE STRUCTURE

CAPITAL MARKET SEGMENT			
Brokerage Slab	Slab in %		Minimum per Share
Delivery Based			
Square Off			
F & O SEGMENT			
Brokerage Slab	Slab in %	Delivery	Minimum per Lot
Future			
Options			
CURRENCY DERIVATIVES SEGMENT			
Brokerage	Slab in %		Minimum Brokerage per Lot
OTHER CHARGES			

In addition to brokerage defined hereinabove, clients shall also be required to pay following additional charges which are subject to change from time to time:

Charges levied by Central Government, State Governments, SEBI, Stock Exchanges, Clearing Member and/or other Statutory / Legal Authorities:

- a) Securities Transaction Tax ;
- b) Stamp Duty;
- c) GST;
- d) SEBI Turnover Fees;
- e) Stock Exchange's Transaction Charges with GST;
- f) Clearing charges charged by Clearing Corporation / Clearing Member with GST;

Other Charges **

- a) Late pay-in/delayed payment charges upto 24% p.a.
- b) All such charges / penalties that may be levied upon Gopalji Broking Pvt. Ltd. by stock exchanges/SEBI/any other statutory authority due to any act/ommission/negligence, whether wilful or otherwise, on part of the client
- c) In addition to the above, appropriate charges shall also be levied for all such services/facilities that may be availed by the client in addition to services/facilities as per defined Rights and Obligations

** GST at applicable rates shall additionally be levied on all of these charges



(Signature of Client)

DISCLOSURE OF PROPRIETARY TRADING BY GOPALJI BROKING PVT. LTD.

Dear Client,

In term of SEBI circular No. SEBI/MRD/SEC/Cir-42/2003 dated 19th November, 2003, member is required to disclose to its client about the proprietary trades.

In view of this circular, we wish to inform you that, we do proprietary trades in the Cash, F&O and Currency Derivative segment of BSE.

I have noted the above _____



(Signature of Client)

Date : _____

CRS Declaration - Non Individual

Name		Trading Code	
DP Code		PAN	
Please tick the applicable tax resident declaration			
Is "Entity" a tax resident of any country other than India		<input type="checkbox"/>	<input type="checkbox"/>
		Yes	No
(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)			

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

In case Tax Identification Number is not available, kindly provide its functional equivalent.
In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1.	We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or	GIIN	
	Direct reporting NFE (Refer 3(vii) of Part C) (please tick <input type="checkbox"/> as appropriate)	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 <input type="checkbox"/> Name of sponsoring entity <input type="checkbox"/>	
	GIIN not available (please tick <input type="checkbox"/> as applicable)	<input type="checkbox"/> Applied for Not obtained - Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category (Refer 1 A of Part C)	

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange <input type="checkbox"/>
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <input type="checkbox"/> <input type="checkbox"/> Nature of relation: Subsidiary of the Listed Company or Controlled by a Listed Company Name of stock exchange <input type="checkbox"/>
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes Nature of Business <input type="checkbox"/> Please specify the sub-category of Active NFE O (Mention code - refer 2c of Part C) <input type="checkbox"/>



4.	Is the Entity a passiveNFE (Refer 3(ii) of Part C)	Yes Nature of Business_____
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**UBO Declaration (Mandatory for all entities except,
a Publicly Traded Company or a related entity of Publicly Traded Company)**

Category (Please tick applicable category):

Unlisted Company	Partnership Firm	Limited Liability Partnership Company	Unincorporated association / body of individuals
Public Charitable Trust	Religious Trust	Private Trust	Others (please specify) _____

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details		UBO1	UBO2	UBO3
Name of UBO				
UBO Code (Refer 3(iv) (A) of Part C)				
Country of Tax residency*				
PAN #				
Address	ZIP			
	State			
	Country			
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	
Tax ID %				
Tax ID Type				
City of Birth				
Country of birth				
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	
Nationality				
Father's Name				
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	
Date of Birth				
Percentage of Holding (%) \$				

* To include US, where controlling person is a US citizen or green card holder

If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

% In case Tax Identification Number is not available, kindly provide functional equivalent

\$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I/We have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FACTA & CRS instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/we hereby agree and confirm to inform Gopalji Broking Pvt. Ltd. for any modification to this information promptly.

I/We further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	



Client Signature

Date

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 nearest GBPL branch or you can dispatch the hard copy to-

Gopalji Broking Pvt. Ltd.

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

• For Detail Terms & Conditions please visit www.gopaljibroking.com

LETTER FOR NSE MFSS / BSE STAR MF

From _____

To,
Gopalji Broking Pvt. Ltd.

Dated _____

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

Dear Sir,

Sub: Mutual Fund Service System (MFSS) facility of NSE/BSE STAR MF

I / We am / are registered as your client with Client Code as mentioned below for the purpose of trading in the Capital Market Segment.

I / We am / are interested in availing the facility of the following Exchange for the purpose of dealing in the units of Mutual funds Scheme permitted to be dealt with.

NSE MFSS ☐ BSE STAR MF ☐

For the purpose of availing the facility, I / We state that Know Your Client details as submitted by me/us for the securities broking may be considered for this purpose and I / We further confirm that the details contained in same remain unchanged as on date.

I / We am / are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.

I / We shall also ensure compliance with the requirements as may be specified from time to time by the Securities and Exchange Board of India and/ or Association of Mutual Funds of India (AMFI).

I / We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I / we choose to subscribe / redeem. I / We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I / We therefore request you to register me/ us as your client for participating in the MFSS/ BSE STAR MF.

Terms and Conditions

1. The client shall be bound by circulars issued by NSEIL/ BSE, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS/ BSE STAR MF or at any time thereafter.
3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
5. The client shall be wholly responsible for all his investment decisions and instruction.
6. The client shall ensure continuous compliance with the requirements of the NSEIL, BSE, SEBI and AMFI.
7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/ BSE or NSCCL/ ICCL
10. In case of any dispute between the Participants and the investors arising out of this facility, NSEIL/BSE and / or NSCCL/ ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Thanking You.

Yours faithfully

Signature: 

Client Code: _____

Note: Signature required in case opted for NSE MFSS or BSE StAR MF on Trading Account details page

LETTER OF AUTHORISATION

To,
Gopalji Broking Pvt. Ltd.

Dated _____

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

Sub : Letter of Authority - BSE

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 :

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

I/We authorize you to adjust the credit balance available in my account of any segment, against any margin 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 given below). I further understand that the above adjustment shall not be valid for monthly / quarterly settlement of accounts.

.....

.....

.....

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:  _____

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,
Gopalji Broking Pvt. Ltd.

Date : _____

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 depositories;
- Uniform Risk Disclosure Documents (for all segments/ exchanges); and
- Guidance Note detailing Do's and Don'ts for trading on stock exchanges.
- 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

Signature:  _____

Client Name : _____

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)

To,

Gopalji Broking Pvt. Ltd.

Dated _____

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

Sub : Running Account Authorisation

I/ we / are/ shall be maintaining a trading account with you for the purpose of doing trading transactions and in order 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

Thanking you

Yours faithfully,

Signature:  _____

Client Name : _____

Client Code : _____

FOR ELECTRONIC CONTRACT NOTES

To,
Gopalji Broking Pvt. Ltd.

Dated _____

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

I/We have been/shall be dealing through you as may/our broker on the Capital Market Segment and/or F&O Segment and/or Currency Derivatives Segment and/or Interest Rate Futures Segments and/or Commodity Future and Options Segment. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receive the contract notes/financial ledger/security ledger/margin statement and other documents in physical form or electronic form. In pursuance of the same, I/We hereby opt to receive contract notes/financial ledger/security ledger/margin statement and other documents in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the contract notes/financial ledger/security ledger/margin statement and other documents. Accordingly, please take the following email account(s)/email id on your record for sending the contract notes to me/us.

1. _____
2. _____

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/ email id(s).

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us.

I/We understand that I/we am/are required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me/us through a physical letter to you, provided however that if I/We am/are an internet client then in that event the request for change in email id/email account can be made by me/us through a secured access using client specific user id and password.

Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

This authorisation is voluntary & can be revoked at any time by giving notice in writing.

Thanking you,

Yours faithfully

Client Signature :  _____

Client Name : _____

DECLARATION BY HUF

To,
Gopalji Broking Pvt. Ltd.

Dated _____

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

Dear Sir/s,

As our HUF Firm (Joint Hindu Family) wishes to open a trading account with you for the purpose of trading in Capital Market, Future & Options and/or Currency Derivatives Segments of BSE, in the name of..... we beg to say that the first signatory to this letter i.e., is the Karta of our family and other signatories are the adult co-parceners of the said family.....

.....is authorized to sell, buy, transfer, endorse, negotiate and/or otherwise deal through you on behalf of the HUF. He is also authorized to sign, execute and submit such application, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF towards you and agree and confirm that any claim due to the you from the HUF shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest there on of every co-parceners of the said joint family and the share of the minor co-parceners, if any.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1932, we have not got our said firm registered under the said Act.

We hereby undertake to inform you about the death or birth of a co-parceners or of any other change occurring at any time in the membership of our joint family, during the currency of the said trading account.

Name & Signature of Karta

Name _____

Signature _____

Name & Signatures of Adult Co-parceners (Use annexure for additional members)

S.No	Name	Signature
1.	_____	_____
2.	_____	_____
3.	_____	_____

DECLARATION, INDEMNITY CUM UNDERTAKING FOR NAME DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF

To,

Gopalji Broking Pvt. Ltd.


Dated _____

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

I, _____ s/o., w/o., d/o _____
_____, refer to my Trading and Demat Account _____
with Gopalji Broking Pvt. Ltd. (GBPL) do hereby affirm, declare and undertake that

1. That my name as it appears on my trading account is _____
2. That my name as it appears on my demat account is _____
3. That my name as it appears on the Income Tax website is _____
4. That my name as it appears on the Address proof is _____
5. That my name as it appears on my Pan Card is _____
6. That my name as it appears on the Bank Proof is _____
7. That my name as it appears on my Aadhaar Card is _____
8. That above mentioned names, on Trading account, Demat account, Income Tax website, Address proof, Aadhaar, PAN Card No. _____ and Bank account bearing no _____ are mine alone.
9. That I hereby request GBPL to maintain my name in Demat and trading account as per the name appearing on the income tax website/ PAN Card.
10. That I promise and undertake to get my PAN card altered in accordance with my name as appearing on the Income tax within 45 days from the date of signing this undertaking. GBPL may, at its sole discretions, terminate my trading and demat account in the event of me not getting my name altered within 45 days of signing this undertaking.
11. That I further undertake to open a bank account in accordance with the name as appearing on the income tax website within a week from the date of signing this undertaking.
12. I further undertake that in case my name has been changed after approval from government authorities and notification gazette. I shall get the name change effected in PAN, Bank account etc. and furnish immediately to GBPL.
13. That I further declare that I am responsible and I shall indemnify & keep indemnified GBPL, its directors, officers, employees, agents from and against any all losses, claims liabilities, obligations, damages, deficiencies, judgments, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc., that may arise out 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 before signing it. That the declaration, indemnity-cum-undertaking given by me to GBPL is by my absolute free will and coercion, undue influence, pressure etc., and at present I am having sound health and mind.

Client Signature :  _____

Client Name : _____

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (FOR NON-INDIVIDUAL)

IDENTITY DETAILS

Application No.		DP Internal Ref. No.	
DP ID	12093100	Client ID	

HOLDERS DETAILS

Sole/First Holder's Name		PAN	
		UID	
		UCC	
Second Holder's Name		PAN	
		UID	
Third Holder's Name		PAN	
		UID	
Search 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 made applicable.

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status						Sub-Status (To be filled by the DP)
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> OCB	<input type="checkbox"/> FII	
<input type="checkbox"/> CM	<input type="checkbox"/> FI	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Other (Specify)			
SEBI Registration No. (if applicable)			SEBI Registration Date			
RBI Registration No. (if applicable)			RBI Approval Date			
ROC Registration No. (if applicable)			ROC Registration Date			
Nationality		<input type="checkbox"/> Indian	<input type="checkbox"/> Others (specify)			

I/We instruct the DP to receive each and every credit in my/our account
(if not marked, the default option would be 'Yes')

[Automatic Credit]

☐ Yes ☐ No

I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end
(if not marked, the default option would be 'No')

☐ Yes ☐ No

Account Statement Requirement As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly ☐

I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id _____

☐ Yes ☐ No

I/We would like to share the email ID with the RTA

☐ Yes ☐ No

I/We would like to receive the Annual Report ☐ Physical ☐ Electronic ☐ Both Physical and Electronic
(Tick the applicable box. If not marked the default option would be in Physical)

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')

☐ Yes ☐ No

[ECS is mandatory for locations notified by SEBI from time to time]

**CLEARING MEMBER DETAILS (To be filled by CMs only)**


Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	
Do you wish to receive dividend/interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]			<input type="checkbox"/> Yes <input type="checkbox"/> No

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)			
IFS Code (11 Character)			
Account Number			
Account Type	Saving <input type="checkbox"/>	Current <input type="checkbox"/>	Others (specify) <input type="checkbox"/>
Bank Name			
Branch Name			
Bank Branch Address	City	State	Country
			PIN
1. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) 2. Photocopy of the Bank Statement having name and address of the BO. 3. Photocopy of the Passbook having name and address of the BO, (or) 4. Letter from the Bank. In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.			

SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	MOBILE No.: +91-.....	<input type="checkbox"/> Yes <input type="checkbox"/> No
	[Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	
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 Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No	
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST	
	Stock Exchange Name/ID	Clearing Member Name
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

I/We have read the Rights and Obligations of Beneficial Owner & DP 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 Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signatures			

(Signatures should be preferably in black ink)

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

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 :

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

Fees, Charges and deposits

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

Availability :

1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those 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.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository.
In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the 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.
4. 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.
5. 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.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.

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

Fees :

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

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant 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.

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 Id	
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 HOLDERS MUST SIGN.

***Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).**

Place : Delhi

Date : ____ / ____ / 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 Account No. _____ and Demat Account No.

Dear Sir / Madam,

I/We, Mr./Mrs./M/s. _____ would like to Email/SMS alerts and other communications with respect to the captioned account(s) from Exchange/Depository/DP/Trading Member.

Please update my/my family member's below mentioned Email Id and/or Mobile No. in my trading account / Demat Account.

Email Id : _____

Mobile No. : _____

My relationship with the holder of above Email Id & Mobile No. is an mentioned below.

• Self	• Spouse	• Dependent Child	• Dependent Parent	
--------	----------	----------------------	-----------------------	--

Master PAN (Applicable if relationship is other than self, PAN of the individual holding the above Mobile Number and / or Email id is to be provided)

However, in case of any further regulatory requirements, I/we undertake to abide upon hearing from you.

Thanking You,

Yours truly,

Signature of the Account Holder

Name of the Account Holder :

Note :

- 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.
- This form is applicable for individuals only.

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

DP ID	1	2	0	9	3	1	0	0	Client ID							
First Holder Name																
Second Holder Name																
Third Holder Name																

To,
Gopalji Broking Pvt. Ltd.
 Regd. & Corp. Office : 203, Yamuna Tower,
 Saini Enclave, LSC, Delhi-110092


Dear Sir / Madam,

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

☐ **OPTION 1:**

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

Yours faithfully


	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

OR

☐ **OPTION 2:**

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

Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

SCHEDULE OF SERVICES CHARGES FOR DP SERVICES

SCHE ME	SCHEME – A	SCHEME – 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/ Release of Margin Pledge Margin Re-Pledge per transaction/ Release of Margin Re-Pledge	Rs. 15/- Rs. 10/-	Rs. 15/- 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.

- Failed Instruction Intimation : Rs. 20/- per intimation per instruction
- Additional Statement of Holding/Transaction : Rs. 5/- per page + Postage as per actuals.
- Incase of demat rejection, postage charges shall be charged @ Rs. 35/- for dispatch of share certificates to the clients.
- Any Modification in client master will be charged @ Rs. 50/- per modification.
- Any other services not specified above shall be charged extra.
- Taxes and other government fee/charges shall be levied extra, as applicable from to time.
- Charges for DP services in respect of clients having trading account/s with GOPALJI BROKING PVT. LTD. will be debited to their trading accounts.
- Late payment charges @ 24% p.a. shall be levied.
- 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.
- Above charges are subject to revision as per GOPALJI BROKING PVT. LTD. sole discretion after providing 30 days' prior notice.

Please Tick : ☐ Scheme - A ☐ Scheme - B



Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder



To,
Gopalji Broking Pvt Ltd
203, Yamuna Tower, Saini Enclave, LSC,
Delhi-110092

Demat Debit and Pledge Instruction

S. No	Purpose	Signature of Client
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	
4	Tendering shares in open offers through Stock Exchange platforms	

Beneficial Owner (BO) ID :

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