ANNEXURE – 1

INDEX OF DOCUMENTS

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
A.	**MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES:**		
1.	Account Opening Form	A. CKYC & KRA form - Document captures the basic information about the constituent and an instruction/check list.	3-15
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/ check list.	16-18
2.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	19-21
3.	Schedule of Charges	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	22
B.	**VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**		
4.	Running Account Authorisation	This letter is authorisation to maintain fund on running account basis & for authorisation to receive contract as well other relevant documents.	23
5.	Authorisation for Communication in Digital Format	This mandate is to authorisitation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	24
6.	Common Mobile & E mail id	As per format	25
7.	Declaration for commodity	Declaration for categories of participant for each commodity	27
8.	Declaration of Open Position	Request for trading in commodity forward contracts	28
9.	Declaration for Commodity-wise Categorization	Declaration for categories of participant for each commodity for Non-individuals	29
10.	BSE STAR MF/NSE MFSS	Dealing in the units of Mutual Funds Schemes	30
C.	**DP SECTION:**		
11.	DP FORM	Document captures the additional information about the constituent relevant to DP account opening form, nomination form, Rights and Obligations, SMS alerts and DDPI thereof.	30-39
12.	Option Form for DIS booklet	Issuance of Dis Booklet	40
13.	BSDA Declaration	Option For Availing Basic Services Demat Account Facility	40
14.	Tariff Sheet (CDSL)	Document detailing the charges levied on the client.	41
15.	Debit Authorization Letter	Authorization Letter for debiting Dp charges from trading a/c.	41
16.	Declaration by HUF	Declaration to be provided by HUF	42
17.	Fema Declaration	Declaration to comply with FEMA Regulations	42
18.	FATCA	FATCA/CRS Declaration For Individuals & NIs	43-46

Rights and Obligation, Rights and Obligation (Margin Trading Facility), Risk Disclosure Document, Guidance Note, RMS Policy included as a separate client copy.

Details of Trading and Clearing Member

Name of stock broker	:	**GAINN FINTECH PRIVATE LIMITED**
Registered Office	:	915, Summit Business Bay, Behind Gurunanak Petrol Pump,Off Andheri Kurla Road, Andheri East, Mumbai - 400069.
Corporate Office	:	915, Summit Business Bay, Behind Gurunanak Petrol Pump,Off Andheri Kurla Road, Andheri East, Mumbai - 400069.
Processing Office	:	513/S-10, 5th Floor, Diamond Heritage Building, 16 Stand Road, Kolkata (WB) - 700001.
Telephone Numbers	:	022-61206160
Email	:	dp@gainn.co.in, care@mygainn.com
CIN	:	U72900MH2021PTC366439
PAN	:	AAJCG2295B
SEBI Registration No. and Date	:	INZ000305534
SEBI Registration No. of CDSL	:	IN-DP-724-2022 • CDSL DP Id: 12096700 BSE Member Code No.: 6783 • NSE Member Code No.: 90261 MCX Code No.: 57035
Clearing Member Name	:	Orbis Financial Corporation limited
Clearing Member Code	:	C51564
Phone No.	:	+91 9891808479
Email	:	pcmorbis@orbisfinancial.in
Compliance officer name	:	Archie Apolino Mascarenhas
Phone No.	:	9321714143
Email Id	:	compliance@gainn.co.in
Director Name	:	Anil Rameshwarlal Maliwal
Phone No.	:	022 61206160
Email Id	:	m.anil@gainn.co.in

For any grievance/dispute please contact **GAINN FINTECH PRIVATE LIMITED** at the above address or email id: **grievance@mygainn.com** and Phone no. **022-61206160.** In case not satisfied with the response, please contact the concerned exchange(s) at their Contact details given below:

BSE Limited (BSE)
Tel. No.: 022-22721233/34
Fax No.: 022-22723677
Investor Services email id.: is@bseindia.com
Investor Services Tel. No.: 022 22728097
E-mail id: stanies.crasto@bseindia.com

CDSL
Tel.: 18002005533
E-mail Id: complaints@cdslindia.com

NSE Limited (NSE)
Tel. No.: 022 2659 8190 / 1800220058
Investor Services email id.: ignse@nse.co.in

MCX
Tel. No.: 022 67318888/ 66494151
Investor Services Email id: grievance@mcxindia.com

PROPRIETORY TRADE DECLARATION

Disclosure in Terms of SEBI Circular No. SEBI/MRD/SE/CIR-42/2003 dated November 19, 2003 **Gainn Fintech Private Limited** besides doing client based business also does its own investment and/or trading. “Proprietory Trading Disclosure noted”.

KRA & CERSAI REGISTRATION DETAILS

Already Registered with KRA? ☐ **Yes** ☐ **No**

Name of the KRA and registration details (✓ Tick whichever is applicable)

☐ NDML ☐ CVL ☐ DOTEX ☐ CAMS ☐ KARVY

KRA Status: _____ Date of Registration: ____/____/_____

Already Registered with CERSAI? ☐ Yes ☐ No

CKYC Number: _____ Date of Registration: ____/____/_____

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

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

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

E. List of people authorized to attest the documents:

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

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	• PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a body of individuals	• Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	• Self certification on letterhead • Authorized signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.
FPI Category I & II	• FPI Certificate • Constitution Documents • Copy of Board Resolution • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity • Authorized signatories list with specimen signatures.

A Clarification / Guidelines on filling 'Personal Details' section

1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 One the following is mandatory: **Spouse's name or Father's name and Mother's name is Mandatory**.

B Clarification / Guidelines on filling 'Current address details' section

1 In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR

2 PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.

3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

4 In Section 2, one of I, II and III is to be selected. In case of online E-KYC authentication, II is to be selected.

5 In Section 3, one of I, II, III and IV is to be selected. In case of E-KYC authentication, II is to be selected.

6 List of documents for 'Deemed Proof of Address'.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.

7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

8 "Equivalent e-document" means an electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.

9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Id entities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

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

2 Email id (Mandatory)

D Clarification / Guidelines on filling 'Related Person details' section

1 Provide KYC number of related person, if available.

E Clarification on Minor

1 Guardian details are optional for minors above 10 years of age for opening of bank account only

2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

Important Instructions for filling CKYC form:

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

Gainn Fintech Private Limited (First Holder)

KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL **MANDATORY**

For office use only Application Type* ❑ New ❑ Update

(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

Account Type* ❑ Normal ❑ Minor ❑ Aadhaar OTP based E-KYC (in non-face to face mode)

❑ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
❑ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name*				

Date of Birth* – –

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

Marital Status* ❑ Married ❑ Unmarried ❑ Others

PAN* Form 60 furnished

PHOTO

Citizenship* ❑ IN-Indian ❑ Others (ISO 3166 Country Code)

Residential Status* ❑ Resident Individual ❑ NRI ❑ Foreign National ❑ Person of Indian Origin

Occupation Type* ❑ S-Service (❑ Private Sector ❑ Public Sector ❑ Government Sector)

❑ O-Others (❑ Professional ❑ Self Employed ❑ Retired ❑ Housewife ❑ Student)

✍ Signature/Thumb impression

❑ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

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

❑ A- Passport Number

❑ B- Voter ID Card

❑ C- Driving Licence

❑ D- NREGA Job Card

❑ E- National Population Register Letter

❑ F- Proof of Possession of Aadhaar XXXXXXXX

❑ E- KYC Authentication XXXXXXXX

❑ Offline verification of Aadhaar XXXXXXXX

Address

Line 1*

Line 2

Line 3 City/Town/Village*

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

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

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

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

❑ A- Passport Number

❑ B- Voter ID Card

❑ C- Driving Licence

❑ D- NREGA Job Card

❑ E- National Population Register Letter

❑ F- Proof of Possession of Aadhaar XXXXXXXX

II ❑ E- KYC Authentication XXXXXXXX

III ❑ Offline verification of Aadhaar XXXXXXXX

IV ❑ Deemed proof of Address - Document Type code

Address

Line 1*

Line 2

Line 3

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

❑ 4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction C at the end)

Tel. (Off) – Tel. (Res) – Mobile –

Email ID

❑ 5. REMARKS (If any)

❑ 6. APPLICANT DECLARATION

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

✍

Date: DD–DD–YYYY Place:

Signature / Thumb Impression of Applicant

❑ 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ❑ Certified Copies ❑ E-KYC data received from UDAI ❑ Data received from Offline verification ❑ Digital KYC Process ❑ Equivalent e-document ❑ Video Based KYC ❑ IPV Done

Pos Code: 1200006783

IPV Done ❑on dd/mm/yyyy

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date: – –	Name **Gainn Fintech Private Limited**
Emp. Name:	Code
Emp. Code:	[Institution Stamp]
Emp. Designation:	
Emp. Branch:	
[Employee Signature]	

Gainn Fintech Private Limited

(Second Holder)

KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL **MANDATORY**

For office use only Application Type* ❑ New ❑ Update

(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

Account Type* ❑ Normal ❑ Minor ❑ Aadhaar OTP based E-KYC (in non-face to face mode)

❑ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
❑ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name*				

Date of Birth* – –

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

Marital Status* ❑ Married ❑ Unmarried ❑ Others

PAN* ☐ Form 60 furnished

PHOTO

Citizenship* ❑ IN-Indian ❑ Others (ISO 3166 Country Code)

Residential Status* ❑ Resident Individual ❑ NRI ❑ Foreign National ❑ Person of Indian Origin

Occupation Type* ❑ S-Service (❑ Private Sector ❑ Public Sector ❑ Government Sector)

❑ O-Others (❑ Professional ❑ Self Employed ❑ Retired ❑ Housewife ❑ Student)

✍ Signature/Thumb impression

❑ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

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

❑ A- Passport Number

❑ B- Voter ID Card

❑ C- Driving Licence

❑ D- NREGA Job Card

❑ E- National Population Register Letter

❑ F- Proof of Possession of Aadhaar XXXXXXXX

❑ E- KYC Authentication XXXXXXXX

❑ Offline verification of Aadhaar XXXXXXXX

Address

Line 1*

Line 2

Line 3 City/Town/Village*

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

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

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

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

❑ A- Passport Number

❑ B- Voter ID Card

❑ C- Driving Licence

❑ D- NREGA Job Card

❑ E- National Population Register Letter

❑ F- Proof of Possession of Aadhaar XXXXXXXX

II ❑ E- KYC Authentication XXXXXXXX

III ❑ Offline verification of Aadhaar XXXXXXXX

IV ❑ Deemed proof of Address - Document Type code

Address

Line 1*

Line 2

Line 3

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

❑ 4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction C at the end)

Tel. (Off) – Tel. (Res) – Mobile –

Email ID

❑ 5. REMARKS (If any)

❑ 6. APPLICANT DECLARATION

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

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

❑ 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ❑ Certified Copies ❑ E-KYC data received from UDAI ❑ Data received from Offline verification ❑ Digital KYC Process ❑ Equivalent e-document ❑ Video Based KYC ❑ IPV Done

Pos Code: 1200006783 **IPV Done ❑on** dd/mm/yyyy

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date: – –	Name **Gainn Fintech Private Limited**
Emp. Name:	Code
Emp. Code:	[Institution Stamp]
Emp. Designation:	
Emp. Branch:	
[Employee Signature]	

Gainn Fintech Private Limited (Third Holder)

KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL **MANDATORY**

For office use only Application Type* ❑ New ❑ Update

(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

Account Type* ❑ Normal ❑ Minor ❑ Aadhaar OTP based E-KYC (in non-face to face mode)

❑ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
❑ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name*				

Date of Birth* – –

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

Marital Status* ❑ Married ❑ Unmarried ❑ Others

PAN* Form 60 furnished

PHOTO

Citizenship* ❑ IN-Indian ❑ Others (ISO 3166 Country Code)

Residential Status* ❑ Resident Individual ❑ NRI ❑ Foreign National ❑ Person of Indian Origin

Occupation Type* ❑ S-Service (❑ Private Sector ❑ Public Sector ❑ Government Sector)

❑ O-Others (❑ Professional ❑ Self Employed ❑ Retired ❑ Housewife ❑ Student)

✍ Signature/Thumb impression

❑ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

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

❑ A- Passport Number

❑ B- Voter ID Card

❑ C- Driving Licence

❑ D- NREGA Job Card

❑ E- National Population Register Letter

❑ F- Proof of Possession of Aadhaar XXXXXXXX

❑ E- KYC Authentication XXXXXXXX

❑ Offline verification of Aadhaar XXXXXXXX

Address

Line 1*

Line 2

Line 3 City/Town/Village*

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

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

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

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

❑ A- Passport Number

❑ B- Voter ID Card

❑ C- Driving Licence

❑ D- NREGA Job Card

❑ E- National Population Register Letter

❑ F- Proof of Possession of Aadhaar XXXXXXXX

II ❑ E- KYC Authentication XXXXXXXX

III ❑ Offline verification of Aadhaar XXXXXXXX

IV ❑ Deemed proof of Address - Document Type code

Address

Line 1*

Line 2

Line 3

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

❑ 4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction C at the end)

Tel. (Off) – Tel. (Res) – Mobile –

Email ID

❑ 5. REMARKS (If any)

❑ 6. APPLICANT DECLARATION

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

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

❑ 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ❑ Certified Copies ❑ E-KYC data received from UDAI ❑ Data received from Offline verification ❑ Digital KYC Process ❑ Equivalent e-document ❑ Video Based KYC ❑ IPV Done

Pos Code: 1200006783 **IPV Done ❑on** dd/mm/yyyy

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date: – –	Name **Gainn Fintech Private Limited**
Emp. Name:	Code
Emp. Code:	[Institution Stamp]
Emp. Designation:	
Emp. Branch:	
[Employee Signature]	

Gainn Fintech Private Limited

KNOW YOUR CLIENT (KYC) APPLICATION FORM - LEGAL ENTITY/OTHER THAN INDIVIDUALS **MANDATORY**

For office use only Application Type* ❑ New ❑ Update

(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

Account Type* ❑ Normal ❑ Minor ❑ Aadhaar OTP based E-KYC (in non-face to face mode)

❑ 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 Incorportion/Formation* – – Date of Commencement of Business* – –

Place of Incorportion/Formation* Country of Incorportion/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 documents 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 of Attorney granted to its manager, oficers/employees to transact on its behalf

❑ Activity Proof - 1 (For Sole Propritorship only) ❑ Activity Proof - 2 (For Sole Propritorship only)

❑ 3. ADDRESS DETAILS (Please see instruction C at the end)

3.1 Registered Office Address/Place of Business*

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

Address

Line 1*

Line 2

Line 3

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

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

Address

Line 1*

Line 2

Line 3

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

❑ 4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-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)

❑ 6. REMARKS (If any)

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

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

Date: D D – D D – Y Y Y Y Place: Signature / Thumb Impression of Applicant

❑ 8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ❑ Certified Copies ❑ Equivalent e-document

Pos Code: 1200006783

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Identity Verification ❑ Done Date: – –	Name **Gainn Fintech Private Limited**
Emp. Name:	Code
Emp. Code:	[Institution Stamp]
Emp. Designation:	
Emp. Branch:	
[Employee Signature]	

CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING LEGAL ENTITY/OTHER THAN INDIVIDUALS KYC APPLICATION FORM

A Clarification / Guidelines on filling Entity Details section

1 Entity Constitution Type

A - Sole Proprietorship
B - Partnership Firm
C - HUF
D - Private Limited Company
E - Public Limited Company
F - Society
G - Association of Persons (AOP)/Body of Individuals (BOI)
H - Trust
I - Liquidator
J - Limited Liability Partnership
K - Artificial Liability Partnership
L - Public Sector Banks
M - Central/State Government Department or Agency
N - Section 8 Companies (Companies Act, 2013)
O - Artificial Jurisdical Person
P - Internatinal Organisation or Agency/Foreign Embassy or consular Office etc.
Q - Not Categorized
R - Others
S - Foreign Portfolio Investors

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
2 Please refer to relevant instructions issued by the regulator regarding applicable documents for the lagal entity.
3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines on filling 'Proof of Address [PoA] section

1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines on filling 'Contact details' section

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

E Clarification / Guidelines on filling 'Related Person details' section

1 Personal Details
- The Name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected

2 Proof of Address (POA)
- POA to be submitted only if the submitted POI does not have an address or address as per POI is invalid or not in force.
- State / UT code and Pin / Post Code will not be mandatory for overseas addressess.
- In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR.
- REs may use the Self Declaration check box where Aadhaar authentication has been carried out sucessfully for a client and client wants to provide a current address, different from the address as the identity information available in the Current Identities Data Repository.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

Gainn Fintech Private Limited

KNOW YOUR CLIENT (KYC) APPLICATION FORM - RELATED PERSON **MANDATORY**

For office use only Application Type* ❑ New ❑ Update

(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

❑ 1. DETAILS of Related Person* (Please refer instruction E at the end)

❑ Addition of Related Person ❑ Deletion of Related Person ❑ Update Related Person Details

KYC Number of Related Person (if available*) if KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ❑ Director ❑ Promoter ❑ Karta ❑ Trustee ❑ Partner ❑ Court Appointment Official ❑ Proprietor ❑ Beneficiary ❑ Authorised Signatory ❑ Beneficial Owner ❑ Power of Attorney Holder ❑ Other (Please specify)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

❑ 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
❑ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name*				

Date of Birth* __-__-____

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

Nationality* ❑ IN-Indian ❑ Others (ISO 3166 Country Code)

PAN* Form 60 furnished

❑ 1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

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

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

PHOTO

Signature/Thumb impression

Address

Line 1*

Line 2

Line 3 City/Town/Village*

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

❑ 1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

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

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

- ❑ A- Passport Number
- ❑ B- Voter ID Card
- ❑ C- Driving Licence
- ❑ D- NREGA Job Card
- ❑ E- National Population Register Letter

❑ F- Proof of Possession of Aadhaar XXXXXXXX

II ❑ E- KYC Authentication XXXXXXXX

III ❑ Offline verification of Aadhaar XXXXXXXX

IV ❑ Deemed proof of Address - Document Type code

Address

Line 1*

Line 2

Line 3 City/Town/Village*

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

❑ 1.4 CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off) – Tel. (Res) – Mobile –

Email ID

❑ 2. APPLICANT DECLARATION

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

Date: DD–DD–YYYY Place:

Signature / Thumb Impression of Applicant

❑ 3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ❑ Certified Copies ❑ E-KYC data received from UDAI ❑ Data received from Offline verification

❑ Digital KYC process ❑ Equivalent e-document

Pos Code: 1200006783

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date: – –	Name **Gainn Fintech Private Limited**
Emp. Name:	Code
Emp. Code:	[Institution Stamp]
Emp. Designation:	
Emp. Branch:	
[Employee Signature]	

Annexure

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) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

Name & Signature of the Authorised Signatory(ies) Date |_|_| |_|_| |_|_|_|_|

For Individuals & Non-individuals **TRADING ACCOUNT RELATED DETAILS** **MANDATORY**

A. BANK ACCOUNT(S) DETAILS

Bank - 1
Bank Name
Branch
Address
Account No.
Account Type: ❑ Saving ❑ Current ❑ Others _____
MICR Code:
IFSC Code (for RTGS)

Bank - 2
Bank Name
Branch
Address
Account No.
Account Type: ❑ Saving ❑ Current ❑ Others _____
MICR Code:
IFSC Code (for RTGS)

B. DEPOSITORY ACCOUNT(S) DETAILS

Demat - 1
Depository: ☐ NSDL ☐ CDSL
DP Name
Beneficiary Name
DP ID:
BO ID:

Demat - 2
Depository: ☐ NSDL ☐ CDSL
DP Name
Beneficiary Name
DP ID:
BO ID:

TRADING PREFRENCE

Please Sign In Relevant Boxes Where You Wish To Trade. Please Strike Off The Segment Not Chosen By You

Exchange	NSE & BSE			MCX
All segments	Cash / Mutual Fund	F&O	Currency	Commodity Derivatives
Please sign here	Please sign here	Please sign here	Please sign here	Please sign here

if you do not wish to trade in any of segments/mutual fund, please mention here _____

Note: For F&O (*Futures & Options*) and CDS (*Currency Derivative Segment*), a signed copy of Income Proof needs to be attached.

Signed on Date Place

D	D	M	M	Y	Y	Y	Y		

Signature of the Account Holder

Name of First Holder	Name of Second Holder	Name of Third Holder
Please sign here First/Sole Holderor Guardian (in case of a Minor)	Please sign here (Second Holder)	Please sign here (Third Holder)

D. OTHER DETAILS		
1. Gross Annual Income details (please specify) : Income Range per annum		
❑ Upto Rs. 1,00,000/- ❑ Rs. 1,00,001/- to Rs. 5,00,000/- ❑ Rs. 5,00,001/- to Rs. 10,00,000/- ❑ Rs. 10,00,001/- to Rs. 25,00,000/- ❑ Rs. 25,00,001/- to Rs. 100,00,000/- ❑ Above Rs. 100,00,001/- Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)		
2. **Occupation (please tick any one and give brief details)**	❑ Private Sector ❑ Public Sector ❑ Government Service ❑ Business ❑ Student ❑ Professional ❑ Agriculturist ❑ Retired ❑ Housewife ❑ Others _____	**For Ind. only**
3. **Please tick, if applicable**	❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (PEP)	
4. Is the entity involved/providing any of the following services ❑ YES ❑ NO - For Foreign Exchange / Money Changer Services ❑YES ❑NO – Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ❑ YES ❑ NO - Money Lending / Pawning ❑ YES ❑ NO		**For NI only**
5. **Any other information**		
6. **GST Registration Number**		
GST Implementation Location		

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 AUTHORISED PERSON AND OTHER STOCK BROKERS

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

  Authorised Person's Name:_____ SEBI Registration number:_____

  Registered office address: _____

  Ph:_____ Fax:_____ Website:_____
- Whether dealing with any other stock broker/Authorised Person (in case dealing with multiple stock brokers/ Authorised Person, provide details of all)

  Name of stock broker:_____

  Name of Authorised Person, if any:_____

  Client Code:_____ Exchange:_____

  Details of disputes/dues pending from/to such stock broker/Authorised Person: _____

"Pursuant to SEBI Circular dated August 3rd, 2018, w.e.f. April 1st, 2019 Sub-Broker has been migrated to AP."

G. ADDITIONAL DETAILS

- Mode of Receiving Contract Notes and other documents ❑ Physical ❑ Electronic

  Specify your Email id, if applicable:_____
- Internet Trading/ Wireless Trading Facility ❑ Yes ❑ No
- Number of years of Investment/Trading Experience: _____
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:_____
- Any other information:_____

H. INTRODUCER DETAILS (optional)

Name of the Introducer: _____

(Surname) (Name) (Middle Name)

Status of the Introducer: Authorised Person/Existing Client/Others, please specify _____

Address and phone no. of the Introducer:_____

Signature of the Introducer:_____

DECLARATION

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

Place_____ (✍_____)

Date_____ **Signature of Client/ (all) Authorized Signatory (ies)**

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

✍
_____

Signature of the Authorised Signatory

Date_____ **Seal/Stamp of the stock broker**

INSTRUCTIONS/ CHECK LIST

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

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

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

2. Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted. (Not more than 4 months old)
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
   a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
   b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
   a. Form need to be initialized by all the authorized signatories.
   b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

POLICIES AND PROCEDURES OF GAINN FINTECH PRIVATE LIMITED **MANDATORY**

A. Refusal of orders for "Penny Stocks"

Gainn Fintech discourages/ restricts trading in Penny Stocks by the clients as they are susceptible to manipulation and risky for investors and in turn to Gainn Fintech.

"Penny Stocks" in general terms shall include securities traded in any National Exchanges having low market price, market capitalization, volumes etc based on parameters like given below:

a) Stocks appearing in the list of illiquid securities issued by the Exchanges from time to time.
b) Stocks which are highly illiquid and have allow market capitalization.
c) Stocks categorized by exchange in ASM,GSM, Unsolicited SMS or securities restricted for trading by Exchanges etc
d) Any other securities based on internal evaluation of GFPL.

The classification can be changed at the sole discretion of GFPL without any notice to the Client. GFPL reserves the right to allow or otherwise refuse orders in any Penny Stocks at its complete discretion notwithstanding the fact that the client has adequate credit balance or any other reason. GFPL may decide to allow placement of orders in Penny Stocks through a designated or centralized desk only.

GFPL shall not be responsible for non-execution or delay or refusal in execution or cancellation of such orders and consequential opportunity loss or financial loss to the client on account of the above restrictions or prohibitions at any time. Clients shall indemnify in respect of any loss including loss due to regulatory actions against GFPL by virtue of Client trading in penny stocks.

b. Setting up client's exposure limit

1. GFPL shall set client's exposure limits depending on the type of securities provided as Margin/available funds in the client's ledger plus Fixed Deposits/Bank Guarantees provided by the Client and the Client profile/ financial status. Exposure limits are also set based on categories of stocks/position (derivatives) Client can trade.
2. Securities that are acceptable as margin and their categorization may be changed by GFPL From time to time at its sole discretion. Further Client categorization may also be changed based on various factors including trading pattern of clients, profile/residential status/financial status of client.
3. GFPL from time to time shall apply such haircuts as may be decided by GFPL on the approved securities against which the Exposure limits are given to the client. GFPL may from time to time change the applicable hair cut or apply a haircut higher than that specified by the Regulators/Exchanges as part of its Risk Management System.
4. Subject to the client's exposure limits, Client may trade in securities and/or take positions in the futures and options segment. Client shall abide by the exposure limits, if any, set by GFPL or by the Exchange or Clearing Corporation or SEBI from time to time.
5. Limits/Exposure provided shall vary based on the intraday/delivery/carry forward positions made by the client. The exposure limits set by GFPL does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the Client shall bear the loss on account of withdrawal of such limits.
6. The Client agrees to compensate GFPL in the event of GFPL suffering any loss, harm or injury on account of exposure given and/or withdrawn.
7. In case of sale of Securities, such sale may at the discretion of GFPL be provided only to the extent of the availability of securities in the account of the Client (DP free Stock, DP lien/ hold marked securities, beneficiary and collateral stock).
8. Further the credit received against sale may be used for exposure as may be decided by GFPL from time to time. In case of derivatives, Clients shall be allowed to trade only up to the applicable client-wise position limits set by the Exchanges/Regulators from time to time.
9. GFPL may from time to time demand additional margin from the Client in the form of funds or securities if there is a requirement for the same and the Client shall be required to provide the same.

c. Applicable brokerage rate

Brokerage and other charges leviable by GFPL on the clients are provided in the client registration Form and is duly signed by the Client.

If there is any upward revision of brokerage, the same will be informed to the Clients in advance by giving a 15 days prior notice. Brokerage and other charges are subject to the maximum limits as prescribed by SEBI/ Exchanges/ Government and other Regulatory authorities from time to time.

d. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period

Delayed Payment Charges (DPC) shall be charged to Clients in case of default or delay in payment of pay-in/ Margin and other dues within the prescribed time limit. DPC shall be charged @ 2% per month on pro-rata basis on any delayed payments towards net debit of the Client across all segments and Exchanges. Such delayed payment charges shall be directly debited to the account of the Client at the end of every month or such other period as determined by GFPL from time to time. Note that charging DPC is a penal measure to ensure timely pay-in by Clients. Subject to the foregoing provisions of the law, any Penalty charged to GFPL on behalf of the clients shall be debited to the clients.

e. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues.

GFPL shall have the sole discretion to square off the open position of the Client and/ or sell clients' securities (including securities maintained as margin with GFPL and securities lying in client's beneficiary/ demat account) in case the Client fails to meet its settlement/ margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by GFPL. Further, the square off of client's open position or the selling of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by GFPL. GFPL shall have no obligation of communicating the same to the Client. GFPL shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the Client due to such squaring off of the open position of the client.

GFPL reserves the right to square off client's open positions or sell clients' securities under following circumstances:

(i) Where the limits given to the Client have been breached.
(ii) Where the Client has defaulted on their existing obligation and / or had failed to make payments / deliver securities to GFPL within the stipulated time period.
(iii) Where the margin or security placed by the Client with GFPL falls short of the applicable minimum margin as may be required to be maintained by the client.
(iv) Where Mark to Market Loss on the open position has reached 80 % of the margins placed with GFPL and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
(v) if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time.

GFPL shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

f. Conditions Under Which Client May Not Be Allowed To Take Further Positions Or Broker May Close existing Positions of Client:

In addition to the right to sell securities and close out client's open positions, GFPL shall have the right to refuse to execute trades/allow the Client to take further positions and/or close out the existing positions of Client under following circumstances:

a. Regulatory directive/restriction;
b. Non-receipt of funds/securities and/or bouncing of cheque received from the Client towards the obligations/ margin/ledger balances;
c. Due to technical reasons;
d. Securities breaching the limits specified by the Exchanges/ regulators from time to time
e. Failure to meet margin including mark to market margins by the client;
f. Securities to be transacted by Client are not in dematerialized form
g. Due to any force majeure event beyond the control of GFPL
h. Any other conditions as may be specified by GFPL from time to time in view of market conditions, regulatory requirements, internal policies etc and risk management system;

GFPL shall not be responsible for any loss incurred and the Client shall indemnify GFPL in this regard.

g. Shortages in obligations arising out of internal netting of trades.

In case the client defaults on its existing obligation which results in delivery shortage to the Exchange, the same

shall be compulsory auctioned as per defined Exchange procedures from time to time. Where the client defaults on its existing obligation and in the event the trade has been internally netted-off at GFPL, there could be internal shortages. The Client agrees to the laid down policy and procedure followed for handling shortages arising out of internal netting of trades, as mentioned herein below

(i) The internal shortages will be marked against the Client randomly at the sole discretion of GFPL taking into account the delivery obligations through Exchanges.

(ii) In all such transaction identified as internal shortages, the defaulting selling Client would be debited in ledger as per the price calculated at Higher of closing price on T' day or T+1 day as per Daily Bhav Copy (NSE Bhav Copy will be referred first over BSE) + 10% penal charges. Simultaneously, the buyer who was eligible to receive shares on T+2'day would be credited in the ledger with the same amount charged to the defaulting selling client.

(iii) The defaulting Client and corresponding buying clients will not have any claim for Profit/ Loss against GFPL. GFPL shall not be responsible for such losses to the clients on account of such shortages. All losses to the Client on this account shall be borne solely by the Client and the Client shall indemnify GFPL in this respect.

(iv) For all cases of shortages i.e. market or internal, in case Client has executed a sale transaction in subsequent settlement on or before the receipt of pay-out for buy transaction in the same scrip, the Client needs to ensure the availability of securities through SLBM and/or otherwise in his demat account to meet pay-in obligation for his sale transaction.

h. Temporarily suspending or closing a client's account based on the client's request.

GFPL may suspend or close the trading account of the Client pursuant to SEBI or any other Regulatory directive for such period as may be prescribed by the respective Regulator.

GFPL may further at its sole discretion and with/without information to the client, prohibit or restrict or block the Client's access to the use of the web site or related services and the Client's ability to trade due to market conditions and other internal policies including policy with respect to prevention of money laundering.

Trades in the account of the client during the period of such temporary closure/ suspension shall not be permitted. Notwithstanding any such suspension/ closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure/ suspension shall continue to subsist and binding on the client.

Client can initiate temporary closure of its account at any time by giving a request to GFPL in writing 15 days in advance. However, such closure will be affected subject to clearance of all dues and settlement obligations by the client. In case the account has been temporarily suspended at the request of the client, the account shall be reactivated only on submission of a written request for reactivation by the client.

i. Deregistering a Client

GFPL may deregister the client under following circumstances:

1. Client breaches the terms and conditions of the Rights and Obligation Documents.
2. Client provides any false information or declarations along with KYC or otherwise.
3. Client denies furnishing documents or information required by GFPL.
4. Client is suspected to be involved in any activities in violation of applicable Rules and Regulations.
5. On account of any Regulatory directive, market conditions and other internal policies of GFPL including policy with respect to prevention of money laundering.
6. At its sole discretion, if GFPL is of the opinion that condition exists for deregistration of client.

Such deregistration/termination shall not affect the rights and liabilities of the parties in respect of the transactions executed before the date of such deregistration/ termination.

✍

_____

(Signature of the constituent)

MANDATORY

Brokerage and Schedule of Charges

Further, I agree to the following terms of doing business:

Particulars	Cash Segment		Futures			Options			MCX		
									Futures		Options
	Min (₹/Paise)	Max %	Min (₹/Paise)	Min Per Lot ₹	Max %	Min (₹/Paise)	Min Per Lot ₹	Max %	Min (₹/Paise)	Min Per Lot ₹	Max %
Single Side											
Both Sides											
Delivery											

Note:
1) Inter settlement arising out of purchase and sale transactions affected by constituent shall be debited to constituent account.
2) Statutory and Exchange Charges:
   a) Securities Transaction Charges, SEBI Turnover Fees, Transaction Charges shall be levied as per the prevailing rate;
   b) Statutory levies including but not limited to GST & Stamp duty shall be levied as per the prevailing rate;
   c) The above rates are subject to change by the Regulatory Authorities and Government Agencies
3) Charges for issue of Duplicate Contract, Bills, statements etc Rs. 50/- per document type.
4) Cheque Bounce/ Stop Payment charges Rs. 500/- + Taxe per cheque.
5) Brokerage shall not exceed maximum permissible limit as per rules & regulations of Exchange / SEBI.
6) Delay Payment Charges On Outstanding Bill Amount If Not Paid Within Due Date : 1.5 % Per Month (Levied Every 15 Days)
7) Rs. 20 + GST , Per debit instruction for utilization of NSE/BSE CUSA Pool Accounts.
8) "Margin collateral charges @1% per month will be charged for all exchange segment".

✍

Signature of the Client _____

RUNNING ACCOUNT AUTHORISATION

VOLUNTARY

To,

GAINN FINTECH PRIVATE LIMITED

915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Dear Sir,

Re: Running Account Authorisation

In order to facilitate operations of my/our trading account opened, I/We would like to authorise Gainn Fintech Private Limited (hereinafter referred as " GFPL") to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless/I/We instruct /revoke you otherwise.
2. I/We request you to settle my fund account as below: (Tick on appropriate option)
   - ❑ **Monthly** ❑ **Quarterly**
3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
5. In case where I/ we and I have traded within 30 calender days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a GFPL may retain funds in the manner specified below:
   i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
   ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
   iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be at registered office.
8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.

Client Code:	
Signature	✍

VOLUNTARY

AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

To, Date: _____

Gainn Fintech Private Limited
915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

I/We hereby agree and consent to receive from Gainn Fintech Private Limited (GFPL) the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/holding statement(s)/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and the rules made there under to my/our below mentioned E-mail Id / Mobile No.

E-Mail ID.: _____

Mobile No.: _____

I/We further hereby agree that GFPL shall fulfill the legal obligation, if the above documents are sent electronically to the said E-mail Id/ Mobile No. and I/we am/are aware that I/we will not receive the statements/documents in paper form. In this regard, I/we further confirm and agree that: -

1. The above is my/our personal E-mail Id/Mobile No. The same has been created by me/us and not by someone else. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above-mentioned E-mail account. GFPL shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/documents may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/our aforesaid E- mail Id/SMS.
2. E-mails/ SMS sent to any of the above-mentioned E-mail accounts/Mobile No., which has not bounced back, shall be deemed to be duly delivered to me/us. I/We am/are aware that non-receipt of bounced email/SMS notification by the member shall amount to delivery of the Contract Note and other documents to the above-mentioned E-mail Id(s)/Mobile No.
3. GFPL shall not take cognizance of out-of-office/out of station auto replies and I/we shall be deemed to have received such electronic mails/ SMS. Such Statements shall be deemed to have been delivered on the day when the E-mail/ SMS are sent by GFPL.
4. GFPL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
5. GFPL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from GFPL.
6. I/We shall inform GFPL by way of a letter in writing duly signed by me/us or informed through an internet platform if there is any change in the E-mail/Mobile No. given above.
7. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with GFPL. My/Our non-verification or not accessing the Statement on a regular basis shall not be a reason for disputing the same at any time.
8. Further I/we agree and undertake to indemnify GFPL and its group companies, that they will not be held liable/responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc. that may arise in future on account of my/our above authorization request.
9. Clients can view the digital contract notes using the username & password through the website apart from the contract notes sent to the client through mail/SMS.
10. The digital contract notes will be archived at an interval of 1 year. If the client intends to view the digital contract notes for a period prior to 1 year client may request for the same in writing.
11. In case of bounced E-mail/SMS, GFPL shall send physical copy of contract note to me/us within the stipulated time under the extant regulations of SEBI/stock exchanges.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	✍		

VOLUNTARY

Family Declaration - Email/ Mobile Updation in Family Codes

(Compulsory in case having common email & mobile in more than one account in Gainn Fintech Private Limited)

To, **Date: _____**

GAINN FINTECH PRIVATE LIMITED

915, Summit Business Bay, Behind Gurunanak Petrol Pump,
Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Dear Sir/Madam,

Subject: Family Declaration for registering common Mobile / Email details

I request you to register the following mobile number and/or email id in my demat and/or trading account(s) to be opened with you.

Mobile No.:_____ Email ID:_____

I and my family members hereby request that mobile number and email id, as mentioned above shall be considered in your records for the purpose of receiving communication from Gainn Fintech Private Limited or Stock Exchanges/ Depositories with regard to trading/demat transactions executed by me/us through Gainn Fintech Private Limited.

This facility shall be provided to me/us as an additional, for my/our convenience of receiving transaction details at a single mobile number and e-mail id. I/We understand that this facility is availed only by the family memberswhere "family" means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines).

Sr. No.	Client Name	Trading Code	BO ID	Relationship	Signature
1.				Self	
2.				Dependent Parent - Mother	
3.				Dependent Parent - Father	
4.				Spouse	
5.				Dependent Daughter	
6.				Dependent Son	
7.					
8.					

Thanking You,

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

(in case of demat account having joint holders, all holders need to sign)

COMMODITY OPTION TRADING ACTIVATION FORM

MANDATORY

(To be taken on letter head in case of Non-Individual client)

To,

Gainn Fintech Private Limited

915, Summit Business Bay, Behind Gurunanak Petrol Pump,
Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Date: _____

Dear Sir/Madam,

I/We ……., a client (client code ……) of M/s. Gainn Fintech Private Limited do hereby undertake that I/We wish to trade in Commodity Options subject to regulatory requirements of the Exchange and SEBI from time to time.

I/We have read and understood Additional Risk Disclosure documents for Options Trading about Risk of Option Holders and Risk of Option Writers as per attached **ANNEXURE 1**.

Yours Faithfully,

Name	
Signature	✍

(Note: In case of Corporate/ Trust, a resolution from Board of Directors/ Trustees clearly stating that the Corporate/ Trust are authorized to trade in Commodity Options and they intend to trade in Commodity Options on Multi Commodity Exchange of India Limited)

ANNEXURE - 1

ADDITIONAL RISK DISCLOSURE DOCUMENTS FOR OPTION TRADING

Risk of Option holders:

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

Risk of Option writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors.

   Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

Signature	✍

DECLARATION OF OPEN POSITION

MANDATORY

To,

Gainn Fintech Private Limited

915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Sub: My request for trading in commodity forward contracts/commodity derivatives on MCX as your client

Dear Sir/Madam,

I/We the undersigned have taken cognizance of circular no. MCX/338/2006 dated December 7, 2006 on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or SEBI and such position limits will be calculated in accordance withuthe contents of above stated circular of NCDEX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms /companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/ trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on MCX only on the basis of our above assurances and undertaking.

In this connection I/We hereby submit the details of the en tities with which I am related.

Sr. No.	Trading Member Name	Client Code	Name	Related As

Yours faithfully,

Name	
Signature	✍

DECLARATION FOR COMMODITY-WISE CATEGORIZATION

MANDATORY

(To be taken on letter head in case of Non-Individual client)

To,

GAINN FINTECH PRIVATE LIMITED

915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Ref: Client Code: _____ Date: _____

Dear Sir/Madam,

Subject: Declaration for categories of participant for each commodity

In pursuant to SEBI circular no. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 04, 2019 on Disclosures by Stock Exchanges for commodity derivatives on their website.

I/We do hereby confirm my/our consent for commodity wise categorization details as below:

Participants Categories (Please tick any one as applicable)	Mention name of interested commodities which are allowed to trade in commodity derivatives markets:
❑ Farmer / FPO	
❑ Value chain participant (VCP)	
❑ Proprietary trader	
❑ Domestic financial institutional investor	
❑ Foreign participant	
❑ Others (All other participants which cannot be classified in the above categories)	

Yours Faithfully,

_____ (Client Name) _____ (Client Signature)

Attention Investors....

1. Stock Brokers can accept securities as margin from clients only by way of pledge in the depository system w.e.f. September 1, 2020.
2. Update your mobile number & email Id with your stock broker/depository participant and receive OTP directly from depository on your email id and/or mobile number to create pledge.
3. Pay 20% upfront margin of the transaction value to trade in cash market segment.
4. Investors may please refer to the Exchange's Frequently Asked Questions (FAQs) issued vide circular reference NSE/INSP/45191 dated July 31, 2020 and NSE/INSP/45534 dated August 31, 2020 and other guidelines issued from time to time in this regard.
5. Check your Securities /MF/ Bonds in the consolidated account statement issued by NSDL/CDSL every month.

BSE STAR MF/NSE MFSS

VOLUNTARY

Date: _____

To,

Gainn Fintech Private Limited

915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Sub: : BSE STAR MF/NSE MFSS

Dear Sir/Madam,

I/We am/are registered as your client with Unique Client Code No. _____ and have executed the "Trading Member and Client Agreement" for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange)/National Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF/NSE MFSS

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stockbroking may be considered for the purpose of BSE STAR MF/NSE MFSS, and I/we further confirm that the details contained in the same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009, and as may be specified by the Exchange from time to time in this regard.

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

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

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

✍

Signature of Client

GAINN FINTECH PRIVATE LIMITED

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

DP ID - 12096700 I SEBI REGN. NO.: IN-DP-724-2022

Corp. Office: 915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Tel.: 022 61206160 • E-mail: dp@gainn.co.in

Additional KYC Form for Opening a Demat Account (Individual)

(To be filled by the Depository Participant)

Application No.										Date								
DP Internal Reference No.																		
DP ID	1	2	0	9	6	7	0	0	Client ID	0	0							

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

Holders Details

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

Name*	

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

Type of Account **(Please tick whichever is applicable)**

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

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

Guardian's Name		PAN										
Relationship with the applicant												

I/We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be `Yes')	❑ 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)	

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

Bank Details (Dividend Bank Details) **MICR code starting with 000 will not be eligible for ECS.**

Bank Code (9 digit MICR code)									
IFS Code (11 character)											
Account number											
Account type	❑ Saving ❑ Current ❑ Cash Credit ❑ Others (specify)										
Bank Name											
Branch Name											
Bank Branch Address											
City	State		Country		PIN						

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

OTHER DETAILS	
1. Gross Annual Income details (please specify): Income Range per annum	
❑ Upto Rs. 1,00,000/- ❑ Rs. 1,00,001/- to Rs. 5,00,000/- ❑ Rs. 5,00,001/- to Rs. 10,00,000/- ❑ Rs. 10,00,001/- to Rs. 25,00,000/- ❑ Above Rs. 25,00,001/- Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)	
2. **Occupation (please tick any one and give brief details)**	❑ Private Sector ❑ Public Sector ❑ Government Service ❑ Business ❑ Student ❑ Professional ❑ Agriculturist ❑ Retired ❑ Housewife ❑ Others (Specify) _____
3. **Please tick, if applicable**	❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (RPEP)
4. **Any other information**	

SMS Alert Facility Refer to Terms & Conditions given as **Annexure-2.4**	MOBILE NO. +91_____ [(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).	❑ Yes ❑ No
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.	❑ Yes ❑ No

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Signature	✍	✍	✍

(Signatures should be preferably in black ink).

Annexure-A

Mandatory Details

1. I / We wish to make nominations [as per details given below]

(You can nominate upto 3 persons)

	Details	1st Nominee	2nd Nominee	3rd Nominee
1	Name of the nominee*			
2	Relationship with the Applicant			
3	Date of Birth (to be provided in case the nominee is a minor)			

2. I want the following nomination details to be printed in the account / holding statements (tick one of the boxes below):

☐ Name of the Nominee(s)

☐ Whether nomination given: Yes / No (not name of the nominee)

3. **Optional details of nomination**:

	Details	1st Nominee	2nd Nominee	3rd Nominee
a)	% Share of nominee**			
b)	Mobile of nominee*** (*Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)*			
c)	Email ID of nominee*** *(Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)*			
d)	Specify Personal identifier document ☐ Aadhaar (last four digit), PAN, Driving License, Passport ***			
Any odd lot after division shall be transferred to the first nominee mentioned in the form. * The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.				

4. Signature:

Name(s) of holder(s)	Signature(s) of holder****
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

Annexure-B

Declaration for Opting-out of Nomination

I hereby confirm that I do not wish to appoint any nominee(s) to my demat at this point of time. I understand that –

(i) The nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.

(ii) In the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).

(iii) If no claim is made on the demat account for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

GAINN FINTECH PRIVATE LIMITED

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

DP ID - 12096700 ● SEBI REGN. NO.: IN-DP-724-2022

Corp. Office: 915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Tel.: 022 61206160 • E-mail: dp@gainn.co.in

Additional KYC Form for Opening a Demat Account

(For entities other than Individuals)

Application No.									Date									
DP Internal Reference No																		
DP ID	1	2	0	9	6	7	0	0	Client ID	0	0	0						

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

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

Holders Details

Sole / First Holder's Name		PAN												
Search Name														
Second Holder's Name		PAN												
		UID												
Third Holder's Name		PAN												
		UID												

Name*	

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

Type of Account **(Please tick whichever is applicable)**

Status	**Sub – Status**
❑ Body Corporate ❑ Banks ❑ Trust ❑ Mutual Fund ❑ OCB ❑ FII ❑ CM ❑ FI ❑ Clearing House ❑ Other (Specify)	**To be filled by the DP**

Date of Incorporation														
SEBI Registration No. (If Applicable)		SEBI Registration Date												
RBI Registration No. (If Applicable)		RBI Approval Date												
Nationality	❑ Indian ❑ Others (specify)_____													

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be `Yes')	❑ 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)	

Clearing Member Details (To be filled by CMs only)

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

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

Bank Details (Dividend Bank Details)

Bank Code (9 digit MICR code)									
IFS Code (11 character)											
Account number											
Account type	❑ Saving ❑ Current ❑ Cash Credit ❑ Others (specify)										
Bank Name											
Branch Name											
Bank Branch Address											
City	State		Country		PIN						

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

MICR code starting with 000 will not be eligible for ECS.

OTHER DETAILS
Gross Annual Income details (please specify): Income Range per annum
❑ Upto Rs. 1,00,000/- ❑ Rs. 1,00,001/- to Rs. 5,00,000/- ❑ Rs. 5,00,001/- to Rs. 10,00,000/- ❑ Rs. 10,00,001/- to Rs. 25,00,000/- ❑ Rs. 25,00,001/- to Rs. 100,00,000/- ❑ More Than Rs. 100,00,000/- Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ❑ Please provide details as per Annexure 2.2 A.
Any other information

SMS Alert Facility Refer to Terms & Conditions given as **Annexure-2.4**	MOBILE NO. +91_____ [(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).	❑ Yes ❑ No
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.	❑ Yes ❑ No

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

(Signatures should be preferably in black ink).

CDSL
Your Depository

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at Marathon Futurex, A-Wing, 25th Floor, N.M. Joshi Marg, Lower Parel, Mumbai-400013 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

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

✍ _____ ✍ _____ ✍ _____

Sole / First Holder Second holder Third Holder

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

1	2	0	9	6	7	0	0		0	0						

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name :_____

Second Holder's Name :_____

Third Holder's Name :_____

Mobile Number on which messages are to be sent

+91										

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

✍ _____ ✍ _____ ✍ _____

Signatures Sole / First Holder Second holder Third Holder

Place: _____ Date: _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

DP ID	1	2	0	9	6	7	0	0	Client ID	0	0						

To,

Gainn Fintech Private Limited

915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

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 immediately on opening of my/our CDSL account though I/we have issued a Power of Attorney (POA)/registered for eDis/executed PMS agreement in favour of/with _____(name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member/by PMS manager/for executing delivery instructions through eDIS.

OR

☐ **OPTION 2:**

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

Yours faithfully,

✍	✍	✍
_____	_____	_____
First/Sole Holder	Second Joint Holder	Third Joint Holder

BSDA DECLARATION

To,

Gainn Fintech Private Limited

915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Dear Sir/Madam, Date: _____

❑ I/We do not want to avail the BSDA (Basic Services Demat Account) facility in respect of my/our below mentioned demat account with you.

❑ I/We wish to avail the BSDA facility for my/our below mentioned demat account number

DP ID	1	2	0	9	6	7	0	0	Client ID	0	0						

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

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/We also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first/Sole holder also hereby declare that I do not have/propose to have any other demat account across depositories as a first/sole holder.

✍	✍	✍
_____	_____	_____
First/Sole Holder	Second Joint Holder	Third Joint Holder

TARIFF STRUCTURE

Nature of Charges	Basis/Rate
Demat Account Opening Charges	NIL
Demat Account Annual Maintenance Charges AMC	Individual Rs. 300/- Non Individual Rs. 800/- BSDA account Rs. 100/- (DP holding between Rs. 4 lakhs to Rs. 10 lakhs)
Ddpi Franking Charges	Rs. 120/-
Kra Upload/Download/Modification Charges	Rs. 35/- per instance
Transaction Charges Market Sell	Rs. 20/- Per script
Transaction Charges (Off- Market/ Inter-Depository) Outward	0.05% transaction value or Rs. 35/- (whichever is higher) per ISIN
Failed Instruction	Rs. 20/- per ISIN/transaction
Pledge And Unpledge With GFPL For Margin Pledge Revoke	Rs. 20/- per ISIN/ transaction Rs. 50/- per ISIN/ transaction
Pledge And Unpledged Outside GFPL For Margin Pledge Any Other Pledge / Invocation	0.01% of transaction value or Rs. 50/- (whichever is higher) per ISIN /Transaction
Demat Charges	Rs. 15/- certificate (Minimum Rs. 50/-) + Rs. 100/- courier charges
Remat Charges	Flat Rs. 20/- per certificate for ever 100 securities + Rs. 100/- courier charges additional courier/postage Charges additional
DIS Booklet (New Request)	Rs. 75+ Rs. 100 courier charges
Additional Cml Copy (Print Out)	Rs. 20 + Rs. 100 Courier Chrages
Account Modification Charges	Rs. 100/- per instance

NOTE:

1. Annual maintenance charges will be charged in advance at the time of account opening and It is non refundable.
2. Interest at 13% will be charged on the outstanding bill amount if not paid within the due date.
3. Stamp duty, GST & other statutory levies will be charged as applicable
4. Additional Physical Statement will be charged at Rs. 10/- per page + Rs. 100/- courier charges
5. All charges above are exclusive of Goods and Service taxes
6. Bounce/Return cheque charges will be charged Rs. 500/-
7. The above Tariff is subject to change, changes if any will be intimated 30days in advance
8. AMC for BSDA Account, having DP holding upto/below Rs. 4 lakhs will be NIL, and above Rs. 10 lakhs will be charged as per NON BSDA Account. Others charges as stated in SEBI circular SEBI/HO/MIRSD/MIRSD-PoD1/P/CIR/2024/91.

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

DEBIT AUTHORIZATION LETTER

VOLUNTARY

From: _____

_____

_____

To, Date: _____

GAINN FINTECH PRIVATE LIMITED

915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Dear Sir,

SUB: **LETTER OF DEBIT AUTHORISATION:**

I am client of Gainn Fintech Private Limited having client code _____ & I hereby willfully & unconditionally issue following debit authorisation:-

I am agreeable and authorise you to debit my client code _____ towards DP Charges and Annual Maintenance Charges (AMC).

Thanking you,

Yours Faithfully,

✍

Signature

(please sign with stamp of the firm if applicable)

HUF DECLARATION

Date: _____

GAINN FINTECH PRIVATE LIMITED
915, Summit Business Bay, Behind Gurunanak Petrol Pump,
Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

Dear Sir,

I hereby request you to open our Trading account with you, for our HUF, Being Karta of my family, I hereby declare that following is the list of family members in our HUF.

SR. NO.	NAME OF FAMILY MEMBERS	PAN	SEX	RELATIONSHIP	DATE OF BIRTH	SIGNATURE

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,
Yours faithfully,

_____
Karta
(Affix stamp of HUF)

FEMA DECLARATION

To,
GAINN FINTECH PRIVATE LIMITED
915, Summit Business Bay, Behind Gurunanak Petrol Pump,
Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

This has reference to my/our application for opening of a trading & demat account with you.

In this connection, I/we hereby declare that I/we have complied and will continue to comply with FEMA Regulations with respect to buying and selling of securities in the Indian Capital Market.

Thanking you,
Yours truly,

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

Gainn Fintech Private Limited

Supplementary KYC Information & FATCA-CRS Declaration - Individuals

(Please consult your professional tax advisor for further guidance on your tax residency FATCA/CRS Guidance)

PAN | **Client Code**

Name | **Gender** M F O

Type of address given at KYC KRA | Residential | Residential & Business | Business

Place of Birth

Country of Birth

Nationality

Gross Annual Income Details in INR | Below 1 Lakh | 1-5 Lakh | 5-10 Lakh | 10-25 Lakh | 25 Lakh - 1 Crore | > 1 Crore

Networth in INR in Lakhs

Rs.: _____

Net worth as on D D M M Y Y Y Y

Occupation Details | Business | Professional | Public Sector | Housewife | Retired | Private Sector | Government Service | Agriculturist | Student | Forex Dealer | Others (Please specify)

Politically Exposed Person (PEP) | Yes | Related to PEP | Not Applicable

Are you a tax resident of any country other than India? Yes No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country*	Tax identification Number#	Identification Type (TIN or Other, please specify)

*** To also include USA, where the individual is a citizen / green card holder of The USA**

 # In case Tax identification Number is not available, kindly provide its functional equivalent $

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Signature

✍

DATE D D M M Y Y Y Y

PLACE

For investor convenience, **Gainn Fintech Private Limited** is collecting this mandatory information for updating across all account in Equity, Commodity etc...

Please submit the form duly filled, signed, for all the holders, seperately and submit it to our office at: **Gainn Fintech Private Limited**, 915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

FATCA & CRS Terms & Conditions

Details under FATCA & CRS. The Central Board of Direct Taxes has notified Rulers 114F to 114H, as part of the Income Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the propose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

For Non-Individuals **Details of ultimate beneficial owner including additional FATCA & CRS information**

***Name of the entity**

Type of address given at KYC KRA Residential & Business ☐ Residential ☐ Business ☐ Regd. Off. ☐

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Customer ID/Folio Number

PAN **Date of Incorporation** D D / M M / Y Y Y Y

City of incorporation

Country of incorporation

Entity Constitution Type
Please tick as appropriate

❑ Parnership Firm ❑ HUF ❑ Private Limited Company ❑ Public Limited Company ❑ Society ❑ Aop/BoiSociety ❑ Trust H Liquidator ❑ Limited Liability Partnership ❑ Aritificial Judicial Person ❑ Others specify _____

Please tick the applicable tax resident declaration Yes ☐ No ☐

1. Is Entity* a tax resident of any country other India. 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.)

Country	Tax identification Number#	Identification Type (TIN or Other, please specify)

 # 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

FATCA & CRS Declaration
(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

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

1. We are a,
Financial institution ☑
or
Direct reporting NFE ☑
(please tick as appropriate)

GIIN

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*

Name of sponsoring entity

GIIN not available *(Please tick as applicabe)* ☑ **Applied for**

If the entity is a financial institution, ☑ Not required to apply for-please specify 2 digits sub-category ☐☐

☑ Not obtained-Non participating FI

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 regurlarly traded on a established securities market)*	Yes ☑ *(If yes, please specify any one stock exchange on which the stock is regularly traded)* Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company *(a company whose shares are regurlarly traded on an established securities market)*	Yes ☑ *(If yes, please specify name of the listed company any one stock exchange on which the stock is regularly traded)* Name of listed company _____ Name of relation: ❑ *Subsidiary of the listed Company or* ❑ *Controlled by a listed Company* Name of stock exchange _____
3.	Is the Entity an active NFE	Yes ☑ *(If yes, please fill UBO declaration in the next section)* Nature of Business _____ Please specify the sub-category of Active NFE ☐☐
4.	Is the Entity an passive NFE	Yes ☑ *(If yes, please fill UBO declaration in the next section)* Nature of Business _____

UBO Declaration

Category *(Please tick applicable category)* ❑ Unlisted Company ❑ Parnership Firm
❑ Limited Liability Parnership Company ❑ Unincorporated association/body of individauls
❑ 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).
Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person Country - Tax Residency Tax ID No. - or functional equivalent for each country"	**Tax ID Type - TIN or other, please specify. Beneficial Interest - in persentage Type Code - of countrolling person"**	**Tax ID Type - TIN or other, please specify Beneficial Interest - in persentage Type Code - of countrolling person"**
1. Name Country Tax ID No.	Tax ID Type Type Code Address Type ❑ Residence ❑ Business ❑ Registered Office	Address *ZIP*☐☐☐☐☐*State: Country:*
2. Name Country Tax ID No.	Tax ID Type Type Code Address Type ❑ Residence ❑ Business ❑ Registered Office	Address *ZIP*☐☐☐☐☐*State: Country:*
3. Name Country Tax ID No.	Tax ID Type Type Code Address Type ❑ Residence ❑ Business ❑ Registered Office	Address *ZIP*☐☐☐☐☐*State: Country:*

 # If passive NFE, please provide below additional details.

PAN/Any other Identification Number (PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others) City of Birth - Country of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Others
1. PAN	Occupation Type	DOB D D / M M / Y Y Y Y
City of Birth	Nationality	Gender Male ✓ Female ✓
Country of Birth	Father's Name	Others ✓
2. PAN	Occupation Type	DOB D D / M M / Y Y Y Y
City of Birth	Nationality	Gender Male ✓ Female ✓
Country of Birth	Father's Name	Others ✓
3. PAN	Occupation Type	DOB D D / M M / Y Y Y Y
City of Birth	Nationality	Gender Male ✓ Female ✓
Country of Birth	Father's Name	Others ✓

Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.

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

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

FATCA & CRS Terms and Conditions

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

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

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

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explationation and attach this to the form.

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name

Designation

✍	✍	✍
First Director/Partner/Trustee	Second Director/Partner/Trustee	Third Director/Partner/Trustee

Place: _____

Date: _____

INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002
(APPLICABLE TO INDIVIDUAL CLIENTS - FIRST HOLDER)

CLIENTS DETAILS

Experience	Number of years of Investment / Trading Experience ☐☐ Any other Information
Education	☐ Non-Metric ☐ SSC/HSC ☐ Graduate ☐ Lawyer ☐ Other Specify
Residential Details	☐ Owned ☐ Rented
Source of Income (Fund Details)	Do you intend to invest in stock market with: ☐ Own Funds ☐ Borrwed Funds a) Primary Source ☐ Salary ☐ Business ☐ Other Specify_____ b) Secondary Source ☐ Royalties ☐ Rental ☐ Dividend ☐ Other Specify_____

DETAILS OF RELATIVES, HAVING ACCOUNT WITH GAINN FINTECH PRIVATE LIMITED

(use Additional Sheet if more than 1 relatives having A/c.)

Name	
Relationship	
UCC	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)

at the time of account opening

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Gainn Fintech Private Limited

For GAINN FINTECH PRIVATE LIMITED

Authorised Signatory

Acknowledgement

To,

Gainn Fintech Private Limited

915, Summit Business Bay, Behind Gurunanak Petrol Pump, Off Andheri Kurla Road, Andheri East, Mumbai - 400069.

I/We hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:

- Account Opening Form
- Tariff Sheet
- Right and Obligations of Equity Market, Commodity Brokers, Authorised Person and Clients
- Risk and Disclosure document for Equity Market and Co mmodity market.
- Policies and Procedures
- Option Trading Form and Additional Risk Disclosure Document related to option trading.
- Guidance Note - Do's and Don'ts for trading on the Exchange(s) for Investors.
- Other disclosure/documents as agreed by me specifically in voluntary segment.

I/We am/are abiding by these terms & conditions. I/We reconfirm that I/we, Equity and Commodity Broker shall refer any claim and/or disputes with respect to trade, deposits, margin .m oney, etc to arbitration as per the Rules, Byelaws, and Regulation of the Exchanges and the circulars/notices issued there under as may be in force from time to time.

I also confirm that it is informed that the Risk Disclosure Document, Right and Obligations, Do's and Don'ts and other relevant documents are also available on member's website.

Yours faithfully,

Signature	✍

FORM NO.: _____ SR. NO. _____

Gainn Fintech Private Limited

SEBI REGN NO.: INZ000305534

CLIENT REGISTRATION FORM

Date : _____

UCC Code : _____

Name : _____

A P Code : _____

BO ID : 12096700-00

Regd. Office: 915, Summit Business Bay, Behind Gurunanak Petrol Pump,
Off Andheri Kurla Road, Andheri East, Mumbai - 400069.
Corporate Office: 915, Summit Business Bay, Behind Gurunanak Petrol Pump,
Off Andheri Kurla Road, Andheri East, Mumbai - 400069.
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