

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE

S. NO.	DOCUMENT	SIGNIFICANCE	PAGE(s)
1	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list for filling KYC form.	4
2	Rights and Obligations	Provided to the client (consent declaration on Page 7)	
3	Risk Disclosure Document (RDD)	Provided to the client (consent declaration on Page 7)	
4	Guidance Note	Provided to the client (consent declaration on Page 7)	
5	Policies and Procedures	Provided to the client (consent declaration on Page 7)	
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and charges related to demat account	16

MANDATORY DOCUMENTS FOR OPENING OF DEMAT ACCOUNT

S. NO.	DOCUMENT	SIGNIFICANCE	PG NO's
7	Application for Demat Account	Details are required for adhering to "Know Your Client" for opening a Demat Account	5
8	Authorisation for debit charges	Authorisation to debit trading account for the demat account charges - Part B	8
9	FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	11

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S. NO.	DOCUMENT	SIGNIFICANCE	PG NO's
10	DIS Issue	Option form for issue of Delivery Instruction Slip	10
11	Letter of Authorization for Electronic Contract	Client consent letter for receiving the contract notes by Email.	9
12	Running Account Authorization	Letter of Authorization for maintaining a Running Account with Upstox.	9
13	Declaration	Declaration related to Mobile/Email ID registration.	15

REGISTERED OFFICE ADDRESS

Upstox Securities Pvt. Ltd.,
809, New Delhi House Barakhamba Road,
Connaught Place, New Delhi- 110001.
Telephone: +91-22-6130-9999
Fax: +91-22-6710-7492
Email: contact@upstox.com, www.upstox.com

CEO (BSE/NSE)

Mr. Ravi Kumar
Telephone: +91-22-6130-9999
Email: compliance@upstox.com, www.upstox.com

COMPLIANCE OFFICER (BSE/NSE)

Mr. Kapil Jaikalyani,
Entity Name: Upstox Securities Private Limited.
Contact no.: (022)-24229920
Email: compliance@upstox.com

COMPLIANCE OFFICER (DP)

Mr. Kapil Jaikalyani,
Entity Name: Upstox Securities Pvt. Ltd.,
Contact no.: (022)-24229920
Email: compliance@upstox.com

KYC PROCESSING OFFICE ADDRESS

Upstox Securities Pvt. Ltd.,
Salasar Business Park,
Off 150 Feet Flyover Road,
Bhayander West,
Thane,
Maharashtra 401101
Telephone: +91-22-6130-9999
Fax: +91-22-6710-7492
Email: contact@upstox.com, www.upstox.com

SEBI REGISTRATION NUMBERS

SEBI Regn. No. NSE/ BSE : IINZ000315837
Registration Date: December 01, 2023
SEBI Regn. No. DP: IN-DP-761-2024
Registration Date: February 02, 2024

CLEARING MEMBER INFORMATION

Upstox Securities Pvt. Ltd
INE231308334 CIN: U65100DL2021PTC376860

eSigned document:

NIKUNJ KUMAR GARG

For any grievance/dispute please contact Upstox Securities Pvt. Ltd. at the above address and/or email id: complaints@upstox.com and complaints.mcx@rksv.in and/or Phone No. +91-22-6130-9999. In case you are not satisfied with the response, please contact the concerned exchange(s) at MCX at grievance@mcxindia.com and Phone No. +91-22-6731-8888].
Procedure to file a complaint on SEBI SCORES: Register on [SCORES](https://scoresportal.com) portal. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, E-mail ID.

Reason: Upstox Trading and Demat A/C Opening

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

(A) IMPORTANT POINTS

1. Self attested copy of PAN card is mandatory for all clients.
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. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
8. 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.
9. 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 Bank.

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

(D) EXEMPTIONS/CLARIFICATIONS TO PAN (*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, 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).

eSigned document:

NIKUNJ KUMAR GARG

18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening

ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS - ILLUSTRATIVE LIST

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.

1. Copy of ITR Acknowledgement
2. Copy of Annual Accounts
3. In case of Salary Income – Salary Slip, Copy of Form 16
4. Net Worth Certificate
5. Copy of demat account holding statement.
6. Bank account statement for last 6 months
7. Photocopy of the canceled cheque having the name of the account holder where the cheque book is issued, (or)
8. Photocopy of the Bank Statement having name and address of the BO
9. Photocopy of the Passbook having name and address of the BO, (or)
10. Letter from the Bank.
11. Self declaration with relevant supporting documents.
12. Any other relevant documents substantiating ownership of Assets.

In case of options 7, 8, 9 and 10 above, MICR and IFSC code of the branch should be present / mentioned on the document.

DEMAT MASTER OR RECENT HOLDING STATEMENT ISSUED BY DP BEARING NAME OF THE CLIENT

For individuals:

1. 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.
2. 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.

For non-individuals:

1. Form needs to be initialized by all the authorized signatory.
2. Copy of Board Resolution as declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

ANNEXURE 2.3

INSTRUCTIONS TO THE APPLICANTS (BOs) FOR ACCOUNT OPENING

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate/ Special Executive Officer under his/her officials
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first/ sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

eSigned document:

NIKUNJ KUMAR GARG

18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT



TO BE FILLED BY THE DEPOSITORY PARTICIPANT

APPLICATION NUMBER:	DATE (DD/MM/YYYY)
DP INTERNAL REFERENCE NUMBER:	DP ID <u>1 2 0 8 1 8 0 1</u> BO ID

TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)

<input checked="" type="radio"/> INDIVIDUAL	<input checked="" type="radio"/> INDIVIDUAL RESIDENT <input type="radio"/> INDIVIDUAL DIRECTOR'S RELATIVE INDIVIDUAL <input type="radio"/> PROMOTER <input type="radio"/> INDIVIDUAL MARGIN TRADING A/C (MANTRA)	<input type="radio"/> INDIVIDUAL DIRECTOR <input type="radio"/> INDIVIDUAL HUF / AOP <input type="radio"/> MINOR <input type="radio"/> OTHERS (SPECIFY)
<input type="radio"/> NRI	<input type="radio"/> NRI REPATRIABLE <input type="radio"/> NRI REPATRIABLE PROMOTER <input type="radio"/> NRI DEPOSITORY RECEIPTS	<input type="radio"/> NRI NON - REPATRIABLE <input type="radio"/> NRI NON - REPATRIABLE PROMOTER <input type="radio"/> OTHERS (SPECIFY)
<input type="radio"/> FOREIGN NATIONAL	<input type="radio"/> FOREIGN NATIONAL <input type="radio"/> FOREIGN NATIONAL DEPOSITORY RECEIPTS	<input type="radio"/> OTHERS (SPECIFY)

HOLDER DETAILS (TO BE FILLED BY THE APPLICANT IN BLOCK LETTERS)

I/We Request You To Open A Demat Account In my/ our Name as per following details:

SOLE/FIRST HOLDER'S NAME <u>NIKUNJ KUMAR GARG</u>	
PAN NO. (Compulsory) <u>C F M P G 3 0 7 0 D</u>	UID NO.
UCC ID	EXCHANGE ID NSE: 13942 BSE: 6155

SECOND HOLDER'S NAME:	
PAN NO. (Compulsory)	UID NO.
THIRD HOLDER'S NAME:	
PAN NO. (Compulsory)	UID NO.

NAME*:
<small>*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.</small>

DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)

GUARDIAN'S NAME:	
RELATIONSHIP WITH THE APPLICANT:	PAN NO. (Compulsory)

I / We instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be 'Yes') <input checked="" type="radio"/> YES <input type="radio"/> 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') <input type="radio"/> YES <input checked="" type="radio"/> NO
---	--

Account Statement Requirement <input type="radio"/> AS PER SEBI REGULATION <input type="radio"/> DAILY <input type="radio"/> WEEKLY <input type="radio"/> FORTNIGHTLY <input checked="" type="radio"/> MONTHLY	I / We request you to send Electronic Transaction-cum- Holding Statement at the email ID <input checked="" type="radio"/> YES <input type="radio"/> NO <u>nikunjumargarg98@gmail.com</u>
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I / We would like to share the email ID with the RTA <input checked="" type="radio"/> YES <input type="radio"/> NO	I / We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical) <input type="radio"/> PHYSICAL <input type="radio"/> ELECTRONIC <input checked="" type="radio"/> BOTH PHYSICAL AND ELECTRONIC
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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 <input checked="" type="radio"/> NO <input type="radio"/>

Re: Confirmation to receive the account opening document and welcome letter through email and digitally signed
 With reference to my/our application for opening of a Demat account with you. I / We wish to receive all documents related to account opening documents, welcome letter and CMR copy (digitally signed) on the registered email id provided. None of these would be physically sent unless requested for the same.

Thanking You, Yours faithfully

FIRST/SOLE HOLDER SIGNATURE [3]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE

eSigned document:
 NIKUNJ KUMAR GARG
 18.07.2024 02:24:17
 Reason: Upstox Trading and Demat A/C Opening

TRADING AND DEMAT ACCOUNT RELATED DETAILS

SECTION A

PRIMARY BANKING ACCOUNT (DIVIDEND BANK DETAILS)

BANK NAME STATE BANK OF INDIA

BRANCH NAME JAGADHARI HARYANA INDIA

BRANCH ADDRESS JAGADHARI

CITY/TOWN/VILLAGE

JAGADHARI

PIN CODE

9 9 9 9 9 9

STATE HARYANA

COUNTRY INDIA

ACCOUNT NUMBER 00000038476095762

MICR NUMBER

IFSC CODE

S B I N 0 0 0 0 6 5 4

ACCOUNT TYPE

☐ CURRENT

☒ SAVINGS

☐ NRI / NRE / NRO

☐ OTHERS (Please Specify)

SECTION B

PRIMARY DEPOSITORY ACCOUNT

(OPTIONAL)

DEPOSITORY PARTICIPANT NAME

DP TYPE (NSDL/CDSL)

DEPOSITORY PARTICIPANT ID

BENEFICIARY NAME

BENEFICIARY ID (BO ID)

SECTION C

TRADING PREFERENCES

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

NSE & BSE

NSE and BSE

All Segments

Cash/Mutual Fund

F&O

Currency

Commodity Derivatives

Place Signature here

Place Signature here

Place Signature here

Place Signature here

Place Signature here

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

SECTION D

PAST ACTIONS

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

SECTION E

DEALINGS THROUGH OTHER MEMBERS

IF CLIENT IS DEALING THROUGH ANY OTHER MEMBER, PLEASE PROVIDE THE FOLLOWING DETAILS (IN CASE DEALING WITH MULTIPLE MEMBERS, PROVIDE DETAILS OF ALL IN A SEPARATE SHEET CONTAINING ALL THE INFORMATION AS MENTIONED BELOW)

MEMBER/AUTHORIZED PERSON NAME:

EXCHANGE:

EXCHANGE REGISTRATION NUMBER:

CONCERNED MEMBER'S NAME WITH WHOM AP IS REGISTERED:

CLIENT CODE:

REGISTERED OFFICE ADDRESS:

CITY:

STATE:

COUNTRY:

TELEPHONE:

FAX:

EMAIL ADDRESS: nikunj.kumargarg98@gmail.com

DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/ AP:

WEBSITE:

☐ 6. DETAILS OF RELATED PERSON (RP) (In case of additional related persons, please fill Annexure B1') (Please refer instruction G at the end)

☐ Addition of RP ☐ Deletion of RP KYC Number of RP (if available*)

RP Type*

☐ Guardian of Minor

☐ Assignee

☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name*

(If KYC number and name are provided, Proof of identity of RP required)

Signature

NIKUNJ KUMAR GARG

18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening

SECTION F		ADDITIONAL DETAILS	
CONTRACT NOTE PREFERENCES: <input checked="" type="radio"/> ELECTRONIC CONTRACT NOTE (ECN) <input type="radio"/> PHYSICAL CONTRACT NOTE			
EMAIL ADDRESS (Same as mentioned on Page 5): nikunjcumargarg98@gmail.com			
<input checked="" type="checkbox"/> I WISH TO AVAIL THE FACILITY OF INTERNET TRADING / WIRELESS TECHNOLOGY		NUMBER OF YEARS OF INVESTMENT / TRADING EXPERIENCE <1 Year	
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	

SECTION G		INTRODUCER DETAILS		(OPTIONAL)								
NAME OF THE INTRODUCER		RELATIONSHIP WITH THE INTRODUCER										
INTRODUCER'S STATUS <input type="radio"/> EXISTING CLIENT <input type="radio"/> AUTHORIZED PERSON <input type="radio"/> SUB-BROKER <input type="radio"/> REMISIER												
INTRODUCER'S ADDRESS	INTRODUCER'S PHONE NUMBER	INTRODUCER'S SIGNATURE										
INTRODUCER'S CLIENT ID												
CLIENT'S NAME NIKUNJ KUMAR GARG												
CLIENT'S SIGNATURE [5] X _____		DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr> <td>1</td><td>8</td><td>0</td><td>7</td><td>2</td><td>0</td><td>2</td><td>4</td></tr> </table>			1	8	0	7	2	0	2	4
1	8	0	7	2	0	2	4					

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.									
CLIENT'S NAME NIKUNJ KUMAR GARG									
PLACE YAMUNA NAGAR									
CLIENT'S SIGNATURE [6] X _____	DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr> <td>1</td><td>8</td><td>0</td><td>7</td><td>2</td><td>0</td><td>2</td><td>4</td></tr> </table>	1	8	0	7	2	0	2	4
1	8	0	7	2	0	2	4		

FOR OFFICE USE ONLY										
CLIENT'S UCC CODE	EMPLOYEE CODE:	EMPLOYEE DESIGNATION:								
VERIFICATION OF DOCUMENTS										
DOCUMENTS VERIFIED BY:	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>								
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:									
CLEINTS INTERVIEW										
CLIENT INTERVIEWED BY	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>								
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:									
IN PERSON VERIFICATION (IPV)										
IPV PERFORMED BY	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>								
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:									
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 (DD/MM/YYYY)	eSignatures of the INTERMEDIARY NIKUNJ KUMAR GARG 18.07.2024 02:24:17								

PART A: INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (ALL THE CLAUSES MENTIONED IN THE 'RIGHTS AND OBLIGATIONS' DOCUMENT(S) SHALL BE APPLICABLE. ADDITIONALLY, THE CLAUSES MENTIONED HEREIN SHALL ALSO BE APPLICABLE)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/ securities using trading wireless technology as may be specified by SEBI & the Exchanges from time to time
2. The client is desirous of investing/ trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/ Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/ SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ internet/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/ SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's System IBT using the Client's Username and/ or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/ or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/ suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/ password in any manner whatsoever.
8. The stock broker shall send the order/ trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology the stock broker shall send the order/ trade confirmation on the device of the client
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/ system failure at the Client/ Stock brokers/ Exchange end for any reason beyond the control of the stock broker/ Exchanges

PART B

Dear Sir,

Sub: Authorisation to debit trading account for the demat account charges

Ref: DP ID: 1 2 0 8 1 8 0 1 BO ID

I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and trading purposes. It would be difficult for me/us to keep issuing separate cheques against your depository bills. I/We, therefore authorize you to debit the charges payable towards operation of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

Thanking you,
Yours truly,

CLIENT'S NAME NIKUNJ KUMAR GARG

CLIENT'S

SIGNATURE [7] X



DATE (DD/MM/YYYY)

1 8 0 7 2 0 2 4

NIKUNJ KUMAR GARG

18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES & AUTHORIZATION FOR RUNNING ACCOUNT

TO: Upstox Securities Private Limited, 30th Floor,
Sunshine Tower, Senapati Bapat Marg, Dadar (W),
Mumbai - 400 013

SUB: Authorization for Electronic Contract Notes & AUTHORIZATION FOR RUNNING ACCOUNT

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

I understand that, I have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I hereby opt to receive contract notes in electronic form. I understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account /email id on your record for sending the contract notes to me:

EMAIL ADDRESS (Same as mentioned on Page 5): nikunjumargarg98@gmail.com

1. I also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account /email id.
 2. I agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.
 3. I agree that the log reports of your dispatching software shall be a proof of dispatch of contract notes to me and such dispatch shall be deemed to mean receipt by me and shall not be disputed by me on account of any non-receipt/delayed receipt for any reason whatsoever.
 4. I understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I am an internet client then in that event the request for change in email id/email account can be made by me through a secured access using client specific user id and password. Please treat this authorization as written ratification of my verbal directions/authorizations given and carried out by you earlier. I shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my directions given above.
 5. I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email.
 6. I am a registered client with you, and am dealing in Capital Market/ Derivative Market/ Currency Market segment(s), and have a Upstox Securities Pvt. Ltd. client code as mentioned below.
 7. I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.
 8. I hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s).
 9. If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.
 10. This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below: ☒ QUARTERLY ☐ MONTHLY
 11. While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations, calculated in the manner specified by the exchanges.
 12. I shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be else it will be final
 13. Upstox reserves the right to carry out necessary due diligence which may include sharing details with third party for checking the creditworthiness.
- Yours faithfully,

CLIENT'S NAME  NIKUNJ KUMAR GARG

**CLIENT'S
SIGNATURE [8] X**

DATE (DD/MM/YYYY) 1 | 8 | 0 | 7 | 2 | 0 | 2 | 4 |

eSigned document:

NIKUNJ KUMAR GARG

18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening

SMS ALERT FACILITY. Refer to Terms & Conditions given as **Annexure - 2.4** MOBILE NO.+91

8	9	5	0	3	7	7	9	9	8
---	---	---	---	---	---	---	---	---	---

[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).

TRANSACTIONS USING SECURED TEXTING FACILITY (TRUST). Refer to terms and Conditions **Annexure - 2.6**

I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.

☐ YES ☒ NO

I/We wish to register the following clearing member Ids under my / our below mentioned BO ID registered for TRUST

Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

EASI

To register for Easi please visit our website www.cdslindia.com

Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

I / We wish to avail the following facility:

Basic Services Demat A/C facility: ☐ YES ☒ NO

OTHER DETAILS

GROSS ANNUAL INCOME DETAILS (Income Range per annum)

☒ UP TO RS. 1 LAC ☐ RS. 1 LAC - RS. 5 LAC ☐ RS. 5 LAC - RS. 10 LAC
☐ RS. 10 LAC - RS. 25 LAC ☐ MORE THAN RS. 25 LAC

NET WORTH AS ON DATE (NOT OLDER THAN 1 YEAR)

VALUE IN Rs.

0

DATE (DD/MM/YYYY)

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

FOR NON INDIVIDUALS: ☐ 25 LAC - 1 CRORE ☐ OVER 1 CRORE

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☒ O-Others ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☒ Student)
☐ B-Business ☐ X- Not Categorised ☐ Agriculturist

AFFILIATIONS: ☐ POLITICALLY EXPOSED PERSON (PEP) ☐ RELATED TO A POLITICALLY EXPOSED PERSON (RPEP)

ANY OTHER INFORMATION:

OPTION FORM FOR ISSUE OF DIS BOOKLET

(OPTIONAL)

DP ID

1	2	0	8	1	8	0	1
---	---	---	---	---	---	---	---

 BO ID

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

TO: Upstox Securities Pvt. Ltd., 30th Floor, Sunshine Tower,
Senapati Bapat Marg, Dadar (W), Mumbai - 400 013

DATE (DD/MM/YYYY)

1	8	0	7	2	0	2	4
---	---	---	---	---	---	---	---

Dear Sir,

I/We hereby state that: (select one of the option given below)

☐ OPTION 1

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/We have issued a Power of Attorney (POA) in favor of Upstox Securities Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

☒ OPTION 2

I/We do not require Delivery Instruction Slip (DIS) for time being. Since I/We have issued a POA/e-DIS in favor of Upstox Securities Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

FIRST/SOLE HOLDER SIGNATURE [9]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		

eSigned document:
NIKUNJ KUMAR GARG
18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Please fill the information below as requested

FIRST ACCOUNT HOLDER

SECOND ACCOUNT HOLDER

THIRD ACCOUNT HOLDER

Name of the Account Holder

NIKUNJ KUMAR GARG

Indicate () your Tax Residency /
Citizenship / Nationality

☒ India ☐ U.S.A ☐ Others

☐ India ☐ U.S.A ☐ Others

☐ India ☐ U.S.A ☐ Others

If ticked on "Others" and/or "U.S.A", please provide all details under point no. 2,3,4,5 below:

Specify City and Country of Birth

Specify Country(ies) of Tax Residency/
Citizenship / Nationality /
Green card holder, other than India

Tax Identification Number (for U.S.A.)
or its functional equivalent (other
than U.S.A.)

Source of Wealth

☐ Salary ☐ Business
☐ Gift ☐ Rental Income
☐ Royalty ☐ Ancestral Property
☐ Prize Money ☐ Others

☐ Salary ☐ Business
☐ Gift ☐ Rental Income
☐ Royalty ☐
☐ Prize Money ☐ Others

☐ Salary ☐ Business
☐ Gift ☐ Rental Income
☐ Royalty ☐
☐ Prize Money ☐ Others

DECLARATION


I / We hereby declare, agree and confirm the following:

- The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Upstox Securities India Pvt. Ltd., within 30 days, in case of any change in the above given status on a future date;
- If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by Upstox Securities Pvt. Ltd. to the relevant tax authority. or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;

FIRST/SOLE HOLDER SIGNATURE [10]

SECOND HOLDER SIGNATURE

THIRD HOLDER SIGNATURE

X 

What is FATCA / CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

US Person means: In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?

Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

Documents to be collected if Customer's Country of birth is U.S. but declare that he/ she are not a U.S. person

- Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
- Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
- Self certification for stating reasons for not obtaining U.S. citizenship at birth.

eSigned document:

NIKUNJ KUMAR GARG

18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening

CONSENT LETTER FOR AVAILING BSE StAR MF FACILITY

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Account Opening documents (KYC Form) for the purpose of trading in the Capital Market segment of BSE Limited (BSE). I/We am/are interested in availing the BSE StAR facility of BSE for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF of the Exchange.

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

I/We are willing to abide by the terms and conditions as mentioned in the BSE Circular dated December 02, 2009 and as may be specified by the Exchange from time to time in this regard.


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

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

I/We therefore request you to register me/us as your client for participating in the BSE Star Mf.

I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

Your faithfully,

FIRST/SOLE HOLDER SIGNATURE [11]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		

eSigned document:

NIKUNJ KUMAR GARG

18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening

PAGE 12

Nomination Form

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

TM / DP Upstox Securities Private Limited, 30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013										FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																		
Date	1	8	10	17	12	20	2	4	UCC/ DP ID	1	2	0	8	1	8	0	1	Client ID										
I/We the sole holder/Joint holders/Guardian (in case of minor) hereby declare that: <input checked="" type="radio"/> I/We do not wish to nominate any one for this demat account. <input type="radio"/> I/We nominate the following person who is entitled to receive security balances lying in my/our account, Particulars whereof are given below, in the event of my/our death.																												
I/We wish to make a nomination. <i>[As per details given below]</i>																												
Nomination Details																												
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																												
Nomination can be made upto three nominees in the account.										Details of 1st Nominee								Details of 2nd Nominee						Details of 3rd Nominee				
1	Name of the nominee(s) (Mr./Ms.)																											
2	Share of each Nominee		Equally <small>[If not equally, please specify percentage]</small>							%								%						%				
										<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																		
3	Relationship With the Applicant (If Any)																											
4	Address of Nominee(s) City / Place: State & Country:																											
5	Mobile / Telephone No. of nominee(s)																											
6	Email ID of nominee(s)																											

eSigned document:
 NIKUNJ KUMAR GARG
 18.07.2024 02:24:17
 Reason: Upstox Trading and Demat A/C Opening

7	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID				
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:					
8	Date of Birth {in case of minor nominee(s)}				
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}				
10	Address of Guardian(s)				
	City / Place: State & Country:				
		PIN Code			
11	Mobile / Telephone no. of Guardian				
12	Email ID of Guardian				
13	Relationship of Guardian with nominee				
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID				
Name(s) of holder(s)					Signature(s) of holder*
Sole / First Holder (Mr./Ms.)					
Second Holder (Mr./Ms.)					
Third Holder (Mr./Ms.)					

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

Note:

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

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

eSigned document:
 NIKUNJ KUMAR GARG
 18.07.2024 02:24:17
 Reason: Upstox Trading and Demat A/C Opening

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

To	Date	D	1	8	M	0	7	2	0	2	4	
Trading Member/Participant's Name	Upstox Securities Private Limited,											
Trading Member/Participant's Address	30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013											
UCC/DP ID	1	2	0	8	1	8	0	1				
Client ID (only for Demat account)												
Sole/First Holder Name	NIKUNJ KUMAR GARG											
Second Holder Name												
Third Holder Name												
<p>I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.</p>												
Name and Signature of Holder(s)*												
<p>NIKUNJ KUMAR GARG</p> <p>1. _____ 2. _____ 3. _____</p>												

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

eSigned document:
 NIKUNJ KUMAR GARG
 18.07.2024 02:24:17
 Reason: Upstox Trading and Demat A/C Opening

TARIFF SHEET

BO ID

DATE (DD/MM/YYYY)

TO: Upstox Securities Private Limited

Dear Sir or Madam,

I would like to subscribe to the Upstox Securities Pvt. Ltd for trading and demat account and request Upstox Securities Pvt. Ltd. to apply brokerage charges as mentioned and as per the terms and conditions of Upstox Securities Pvt. Ltd.

I/We agree to pay the charges as per following charge structure with Upstox Securities Private Limited

Account opening fee ☒ Free ☐ Rs. 149/- [Trading] +GST
☐ Rs. 199/- [Trading] +GST ☐ Rs. 499/- [Trading] +GST ☐ Rs. 999/- [Trading] +GST

Brokerage charges for Equity Delivery - 2.5% or Rs. 20 / per order (Whichever is lower)

Brokerage - Basic 0.05% or Rs. 20/- (Whichever is lower) per order for Equity Intraday, Futures. For Option, Rs. 20 per order traded.

CHARGE HEAD	CHARGES
Annual Maintenance Charges	– For individual account : Rs. 0 /-
Transaction charges Market / Off Market / Interdepository Transactions	– Rs. 13/- plus Rs. 5.50/- (CDSL charges) per scrip.
Pledge Charges Creation / Closure and Confirmation of both	– 0.02% of the transaction charges subject to a minimum of Rs. 50/- plus NSDL / CDSL charges at actual.
Pledge Charges for Invocation	– 0.05% of the transaction charges subject to a minimum of Rs. 50/-
Dematerialization Charges	– Rs 200/- per certificate plus charges of Rs. 20/- per request.
Rematerialization Charges	– For every 100 shares Rs. 25/- part thereof, subject to maximum 5,00,000 or flat fee Rs. 25/- per certificate, whichever is higher.
SLB Charges	– For Securities Borrowings: Rs. 25/- plus NSDL / CDSL charges at actuals. – For Securities Lending: Rs. 25/- plus NSDL/ CDSL charges at actuals.
Repurchase / Redemption Charges	– Flat Rs. 25/- per transaction plus Depository charges at actuals.
Failed / Rejected Transactions	– Rs. 50/- per transaction.
Interest on negative(debit) ledger balance	– Interest 0.05% per day(from 1st March 2024)
Demat Rejection Charges	– Rs. 35/- per rejection for every 500 gms.

In addition to the above monthly subscription charges, the following statutory charges will also be levied at actuals:

1. Securities Transaction Tax, Transaction Charges, Stamp Duty, SEBI Turnover Fees, Clearing Member Charges and GST.
2. Electronic Contract Notes are free. Physical Contract note copies are charged at Rs. 50 per contract note (for ECN clients) + Courier charges as applicable. Depository Participant charges as levied by UpstoxTerms and Conditions can be subject to change provided the same is done as for applicable guidelines of SEBI/exchange.

3. The terms and conditions of the Upstox Securities Pvt. Ltd. plans have been read and understood by me. I wish to avail the plans above provided by Upstox Securities Pvt. Ltd. for my trading account subject to the terms and conditions mentioned above.

4. I declare that I have read and understood the terms and conditions governing the Upstox Securities Pvt. Ltd.

5. Call and trade and square off charges at Rs. 50 will be charged

Note: Brokerage is also charged on expired, exercised and assigned Futures and Options contracts.

*Disclaimer: For Delivery based trades, a minimum of Rs. 0.01 will be charged per contract note.


Adhoc / Non periodic statement requests – Adhoc statement requests: - Rs. 25/- (Rs 500 for foreign address) per request upto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs. 10/- plus courier /postage charges.

E-Mail Statement - – Periodic Bills and Transactions statements and other communications will be sent by email, only. Terms and Conditions for the same to be mandatorily executed. Requests for physical statements will be charged as mentioned above.

Cheque Bounce charges - – Charges will be applied based on charges as determined by our bankers.

NOTE: For all purposes the bill date shall be construed as the date of demand and the bills will be considered as the bill cum notice for payment and Upstox Securities Pvt. Ltd. reserves the right to Freeze Depository account for debit transaction in case of non payment of charges after two days from the bill date.

Interest @ 13% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any be intimated 15 days in advance. GST and othertaxesapplicable on all above charges.

FIRST/SOLE HOLDER SIGNATURE [14]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		eSigned document: NIKUNJ KUMAR GARG 18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening

MOST IMPORTANT TERMS AND CONDITIONS

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

I agree _____

eSigned document:

NIKUNJ KUMAR GARG

For any grievance/ dispute please contact RKSVM Securities India Pvt. Ltd. at the above address and/ or email id: complaints@rksv.in and complaints.mcx@rksv.in and/ or Phone No. +91-22-6130-9999. In case you are not satisfied with the response, please contact the concerned exchange(s) at MCX at grievance@mcxindia.com and Phone No. +91-22-6731-8888]. Procedure to file a complaint on SEBI SCORES: Register on [SCORES](https://scores.sebi.gov.in) portal. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, E-mail ID.

Reason: Upstox Trading and Demat A/C Opening

ACKNOWLEDGEMENT LETTER

TO: Upstox Securities Private Limited
30th Floor, Sunshine Tower,
Senapati Bapat Marg,
Dadar (W),
Mumbai - 400 013

Dear Sir or Madam,

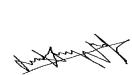
I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
5. The Upstox Securities Pvt. Ltd. Tariff sheet.
6. General Terms and Conditions governing securities trading and broking services of Upstox Securities Pvt. Ltd.
7. All other mandatory and voluntary client registration documents.
8. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will.

I state that I have read and understood all above documents and these documents are binding upon me.

Yours faithfully,

FIRST/SOLE HOLDER SIGNATURE [17]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		

DATE (DD/MM/YYYY)

1 | 8 | 0 | 7 | 2 | 0 | 2 | 4 |

eSigned document:

NIKUNJ KUMAR GARG

18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening PAGE 18

DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per Income Tax	NIKUNJ KUMAR GARG
Name as per Bank Proof	NIKUNJ KUMAR GARG
Name as per Address Proof	
Name as per Income Proof	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep Upstox Securities Pvt. Ltd. / RKSV Commodities India Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by Upstox Securities Pvt. Ltd. / RKSV Commodities India Pvt. Ltd. for any act done or omitted to be done on the above declaration.

CLIENT'S SIGNATURE [12] X  _____

eSigned document:
NIKUNJ KUMAR GARG
18.07.2024 02:24:17
Reason: Upstox Trading and Demat A/C Opening



eSigned document:
NIKUNJ KUMAR GARG
18.07.2024 02:24:17
Reason: Upstox Trading and Demat A/C Opening

A handwritten signature in black ink, consisting of several sharp, angular strokes.

I wish to register the mentioned signature as authorized signature for all activities and correspondence with RKSU/Upstox

Signature as per our records

eSigned document:

NIKUNJ KUMAR GARG

18.07.2024 02:24:17

Reason: Upstox Trading and Demat A/C Opening