



TROO TRIBE TECH LIMITED

Name :	UCC Code :	Branch Code :	Form No.: E
RM Email ID :			
Dealer 1 Employee Code :		Dealer 2 Employee Code :	

## CLIENT REGISTRATION FORM

INDIVIDUAL / NON - INDIVIDUAL

# Troo Tribe Tech Limited

**Registered Office Address:** Unit No. 207 A, Second Floor, NDM1, Plot no.B 2 3 4, Wazirpur District Centre, Netaji Subhash Place, Pitampura, Saraswati Vihar, Delhi, North West Delhi, India 110034.

**Corporate Office:** 707, 7th Floor, Hive 67 ICON, Poisar Gymkhana Road, Near Raghuleela Mall, Kandivali (W), Mumbai, Maharashtra - 400 067

Email : [complianceofficer@trootribe.com](mailto:complianceofficer@trootribe.com) & Contact No.: 022-45148196

CIN No. : U74899DL1994PLC062140

Version : 1.01

# INDEX

## MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES PART I

Sr. No.	Name of the Document	Brief Significance of the Document	Pages From-To
1.	KYC ( Account opening Form )	C KYC & INDIVIDUAL KYC	1-2
		NON – INDIVIDUAL KYC / NON -INDIVIDUAL FATCA	3-4
		NON – INDIVIDUAL KYC - ANNEXURE	5-8
		KYC Form – Document captures the basic information about the Constituent.	9-12
2.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange (s).	11
3.	Rights & Obligations	Documents stating the Rights & Obligation of stock broker/trading member/ authorised person and client for the trading on exchanges including additional rights & obligation in case of Internet/Wireless technology based trading.	Provided as a separate booklet to be retained by client and also made available company website
4.	Risk Disclosure Document (RDD )	Document detailing risks associated with dealing in securities / commodities market .	
5.	Guidance Note	Document detailing DO's and DON'T's for trading on exchange, for the education of the investors.	
6.	Rights & Obligations ( DP )	Documents stating the Rights & Obligation of Beneficial Owner and Depository Participant	
7.	Policies and Procedures	Document describing significant policies and procedures of the stock broker / Policy of Voluntary Freezing / Blocking of Online Access of Trading Account by Clients / Goods Till Cancelled Orders Policy	
8.	Rights & Obligations of NSE (MTF)	Documents stating Rights & Obligations of Stock Brokers / Trading Member of NSE for MTF	
9.	Rights & Obligations of BSE (MTF)	Documents stating Rights & Obligations of Stock Brokers / Trading Member of BSE for MTF	
10.	Terms & Conditions (MTF)	Terms & Conditions prescribed by TTTL for Margin Trading Facility (MTF)	
11.	Instructions of Regulators	Guidelines for filling Individual / Legal Entities KYC Application form.	
12.	Declaration & Confirmation from client	Declaration from the client stating that client is liable to pay the margins which are required by the exchanges & other obligations.	
13.	Investor Charter	Investor charter for stock broker	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER PART II			
14.	Running Account Authorization	Authorization to maintain your trading account on running account basis.	13
15.	SMS Alerts on & EMAIL Alerts Mobile No and Email ID	APPENDIX B for Undertaking for services by way of SMS alerts and EMAIL alerts from trading member.	13
16.	Mandate for Electric Mode of Delivery of Contract Note ( ECN ) & Information	Authorization by you in our favour to issue digitally signed Electronic Contract Note in lieu of Physical Contract Note	14
17.	NOC letter to be obtained from Broker / Exchange employees	Declaration of employment / association with market.	15
18.	Indemnity cum undertaking	Indemnity cum undertaking for name discrepancy in pan card, bank proof & address proof, signature	15
19.	Verbal Order Acceptance	Authorization by the client for Verbal order acceptance to the trading member	15
20.	HUF Declaration	Authorization by Co-parceners in favour Karta	16
21.	MITC /Undertaking for Currency Trading	Most Important Terms and Condition / Declaration Cum Undertaking for Trading in Currency Segment	17
22.	Self Declaration	Declaration for Commodity wise Categorization	18
23.	Declaration	Declaration for Common Mobile Number and EMAIL ID in a Family Account.	19
24.	Acknowledgment	This confirms that client has received all the documents as per Regulators.	19

**Troo Tribe does not accept subscription fee or any other fee-payments in cash.  
Please note that hence forth Troo Tribe Tech Limited will here referred as TTTL**



TROO TRIBE TECH LIMITED

**Know Your Client  
Application Form (For Individuals only)**

(Please fill the form in English and in BLOCK Letters)

Fields marked with '\*' are mandatory fields

**CKYC & KYC KRA FORM**Application ☐ NewType\* ☐ Update C KYC Number\* KYC Type\* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)**1. Identity Details (Please refer instruction A in separate booklet )**

PAN  Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof)  Prefix  First Name  Middle Name  Last Name

Maiden Name (if any\*)

Father / Spouse Name\*

Mother Name\*

Date of Birth\*

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

Marital Status\* ☐ Married ☐ Unmarried ☐ Others

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

Residential Status\* ☐ Resident Individual ☐ Non Resident Indian

☐ Foreign National ☐ Person of Indian Origin

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

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

☐ B-Business ☐ X-Not Categorised

(1)

**Photo**

Signature/  
Thumb Impression

**2. Proof of Identity (Pol)\* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K in separate booklet )**

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

☐ A- Passport Number  Passport Expiry Date

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence  Driving Licence Expiry Date

☐ E- Aadhaar Card / Virtual ID  \* Please note for Aadhar number only last 4 digit are to be written

☐ F- NREGA Job Card

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

☐ S- Simplified Measures Account - Document Type Code  Identification Number

**3. Proof of Address (PoA)\*****3.1 Current / Permanent / Overseas Address Details (Please see instruction D in separate booklet )****Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Zip / Post Code\*  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT\*  Country\*  Country Code  as per ISO 3166

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

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

Proof of Address\*

☐ Passport Number  Passport Expiry Date

☐ Voter ID Card

☐ Driving Licence  Driving Licence Expiry Date

☐ Aadhaar Card / Virtual ID  \* Please note for Aadhar number only last 4 digit are to be written

☐ NREGA Job Card

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

**3.2 Correspondence / Local Address Details\* (Please see instruction E in separate booklet )**

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Zip / Post Code\*  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT\*  Country\*  Country Code  as per ISO 3166

[illegible]

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

[illegible]

Tax Identification Number or equivalent (If issued by jurisdiction)\* | | | | | | | | | |

TIN issued country

Date of Birth

d d m m y y y y

[illegible]

US person ☐ YES OR ☒ NO Country of Birth\*

Address

[illegible]

Line 3 City / Town / Village\*

District\* Zip / Post Code\* State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT\* | | | | | | | Country\* | | | | | | | Country Code | as per ISO 3166

Related Person	Deletion of Related Person	KYC Number of Related Person (if available*)

Related Person Type\* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Prefix	First Name	Middle Name	Last Name
--------	------------	-------------	-----------

Name\*

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

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

[illegible]

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence      Driving Licence Expiry Date    d | d || m | m || y | y | y | y

<input type="checkbox"/> E- Aadhaar Card / Virtual ID	*	*	*	*	*	*	*										* Please note for Aadhar number only last 4 digit are to be written
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	---

☐ F- NREGA Job Card

[illegible]

☐ S- Simplified Measures Account - Document Type Code Identification Number

\* I/we hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

I/We hereby consent to receiving information from all KRA's through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my/our KYC request shall be validated against Aadhaar details. I/We hereby give my/our consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other intermediaries with whom I/We have a business relationship for KYC purposes only.

☐ I/ We hereby give my/our consent to TTTL for downloading my/our data from Central KYC Records Registry and further give consent to receiving information through SMS/Email on the above registered mobile number /email address.

Date: | d | d | | m | m | | y | y | y | y | Place: | | | | | | | | | | | | | | | | | | | |

(2)  [Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**Documents Received** ☐ **Certified Copies**

### In-Person Verification (IPV) & KYC Verification Carried Out by (Refer Instruction J&I)

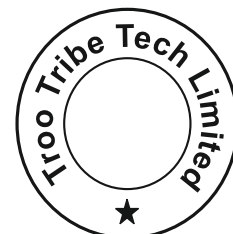
Date

[illegible][illegible][illegible]

### Institution Details

Name **Troo Tribe Tech Limited**

Code | I | N | 1 | 8 | 9 | 2





## Know Your Client Application Form (For Non Individual Only)

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

## CKYC & KYC KRA FORM

Application ☐ New

Type\* ☐ Update CKYC Number\*

KYC Type\* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)

\* For important instructions, please refer to separate booklet

### ☐ 1. Entity Details (Please refer instruction A in separate booklet)

#### ☐ 1. Name of Applicant

Entity Constitution Type \* ☐ (Please refer instruction B in separate booklet)

☐ 2. a. Date of Incorporation           2.b. Date of commencement of business:

3. PAN  Form 60 Furnished ☐ TIN / GST Registration Number

☐ 4. a. Place of Incorporation / Country of Incorporation :  TIN / Equivalent issuing Country

☐ 4. b. Registration No. (e.g. CIN):

☐ 5. Status Please tick (✓) any one ☐ Private Limited Co. ☐ Public Ltd. Co ☐ Body Corporate ☐ Partnership ☐ Trust ☐ Charities ☐ NGO's  
☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organization ☐ Defense Establishment ☐ BOI ☐ Society  
☐ LLP ☐ FPI - Category I ☐ FPI - Category II ☐ FPI - Category III ☐ Others (please specify)

### ☐ 2. PROOF OF IDENTITY (PoI)\* (Please refer instruction B in separate booklet)

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

☐ Certificate of Incorporation / Formation  ☐ Registration Certificate

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manage, officers or employees to transact on its behalf

☐ Activity Proff -1 (For Sole Proprietorship Only) ☐ Activity Proof -2 (For Sole Proprietorship Only)

### ☐ 3. ADDRESS\* (Please see instruction C in separate booklet)

#### 3.1 Registered Office Address / Place of Business\*

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

Line 1\*

Line 2

Line 3  City / Town / Village\*  PIN / Post Code\*

District\*  State / U.T. Code\*  ISO 3166 Country Code\*

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

Line 1\*

Line 2

Line 3  City / Town / Village\*  PIN / Post Code\*

District\*  State / U.T. Code\*  ISO 3166 Country Code\*

### ☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number / Email-ID provided" may be used (Please refer instruction D in separate booklet)

Tel.(Off.) (ISD) (STD)  Tel.(Res) (ISD) (STD)

Mobile (ISD) (STD)  Fax (ISD) (STD)

E-mail ID.

### ☐ 5. NUMBER OF RELATED PERSONS ☒ (Please refer instruction E in separate booklet)

### ☐ 6. Remarks (If any)

### ☐ 7. Other Details

☐ 1. Gross Annual Income Details (Please tick (✓)) ☐ Below 1 Lakh ☐ 1-5 Lakhs ☐ 5-10 Lakhs ☐ 10-25 Lakhs ☐ 25-1 Crore ☐ > 1 Crore

☐ 2. Net-worth in ₹. (\*Net worth should not be older than 1 year) as on (date)           Rs.

### 8. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

I/We hereby consent to receiving information from all KRA's through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my /our KYC request shall be validated against Aadhaar details. I/We hereby give my /our consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I / We have a business relationship for KYC purposes only.

I / We hereby give my/our consent to TTTL for downloading my/our data from Central KYC Records Registry and further give consent to receiving information through SMS/Email on the above registered mobile number / email address.

Date:           Place:

(1)

Signature / Thumb Impression of Applicant

### 9. Attestation / For Office Use Only

☒ Certified Copies ☒ Equivalent e-document

#### In-Person Verification (IPV) & KYC Verification Carried Out by (Refer Instruction J&I)

#### Institution Details

Date

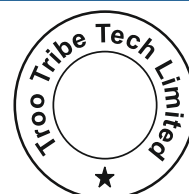
Emp. Name

Emp. Code

Emp. Designation

Name **Troo Tribe Tech Limited**

[Employee Signature]



# FATCA-CRS Declaration - Non - Individual Entities & HUF

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

PAN*		Name	
Type of address given at KYC KRA		Residential	Residential or Business
City of incorporation		Country of incorporation	
Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates]	Money Laundering / Pawning
	YES NO	YES NO	YES NO
Any other information (if applicable)			
Entity Constitution Type Please tick as appropriate			
<input type="checkbox"/> Partnership Firm <input type="checkbox"/> HUF <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society <input type="checkbox"/> AOP/BOI <input type="checkbox"/> Trust <input type="checkbox"/> Liquidator <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Artificial Juridical Person <input type="checkbox"/> Others specify _____			

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than 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 or Company Identification Number or Global Entity Identification Number

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

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## FATCA Declaration

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

1.	We are a, Financial institution <input type="checkbox"/> or Direct reporting NFFE <input type="checkbox"/> (please tick as appropriate)	GIIN <input type="text"/>
		<b>Note:</b> 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 <input type="text"/>
		<input type="checkbox"/> GIIN not available (please tick as applicable) <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/>
		<input type="checkbox"/> Not obtained – Non-participating FI <input type="text"/>

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

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange <input type="text"/>
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <input type="text"/> Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange <input type="text"/>
3.	Is the Entity an active NFE	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Nature of Business <input type="text"/> Please specify the sub-category of Active NFE <input type="text"/>
4.	Is the Entity a passive NFE	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Nature of Business <input type="text"/>

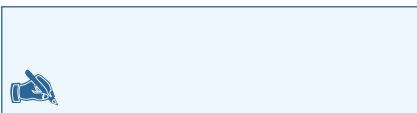
## FATCA Terms and Conditions

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### Certification:

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

Name	<input type="text"/>
Designation	<input type="text"/>
Signature	
Place:	<input type="text"/>
Date:	<input type="text"/>



Note : For abbreviation of PEP/RPEP/NPEP/NRPEP and others details please refer to page no.10

Annexure : Legal Entity - Name of Applicant \_\_\_\_\_ PAN \_\_\_\_\_

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

**For office use only** Application Type\* ☐ New ☐ Update ☐ Delete  
(To be filled by financial institution) KYC Number \_\_\_\_\_ (Mandatory for KYC update and delete request)

### 1. DETAILS OF RELATED PERSON\* - I (Please refer instruction E in separate booklet )

☐ 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)

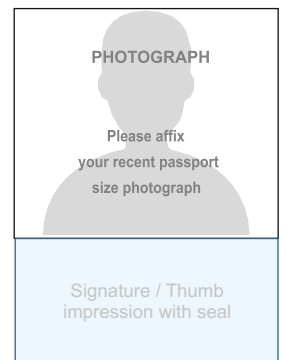
### 1.1 PERSONAL DETAILS\* (Please refer instruction E in separate booklet )

Name\* (Same as ID proof) Prefix First Name Middle Name Last Name  
M r / M s  
Maiden Name M r / M s  
Father / Spouse Name M r  
Mother Name M s  
Date of Birth\* DD MM YYYY Gender\* ☐ M-Male ☐ F-Female ☐ T-Transgender  
Nationality\* ☐ IN-Indian ☐ Others (ISO 3166 Country Code \_\_\_\_\_) PAN\* \_\_\_\_\_ ☐ Form 60 furnished  
Please tick, if applicable : ☐ PEP ☐ RPEP ☒ NPEP ☒ NRPEP

### 1.2. PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction E in separate booklet )

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-NRAGA Job Card \_\_\_\_\_  
☐ E-National Population Register Letter \_\_\_\_\_  
☐ F-Proof of Possession of Aadhaar \* \* \* \* \*  
II ☐ E-KYC Authentication \* \* \* \* \*  
III ☐ Offline verification of Aadhaar \* \* \* \* \*  
IV ☐ Deemed PoA \_\_\_\_\_  
V ☐ Self Declaration \_\_\_\_\_



#### Address

Line 1\* \_\_\_\_\_  
Line 2 \_\_\_\_\_  
Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_  
District\* \_\_\_\_\_ PIN / Post Code\* \_\_\_\_\_ State / U.T. Code\* \_\_\_\_\_ ISO 3166 Country Code\* \_\_\_\_\_

### 1.3 CONTACT DETAILS (All communications will be sent provided Mobile no. / Email-ID) (Please refer instruction D in separate booklet )

Tel.(Off) \_\_\_\_\_ Tel.(Res.) \_\_\_\_\_ Mobile \_\_\_\_\_  
Email ID \_\_\_\_\_

### 1.4 Applicant Declaration

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.
- I/We hereby consent to receiving information from all KRA's through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my / our KYC request shall be validated against Aadhaar details. I/We hereby give my / our consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I / We have a business relationship for KYC purposes only.
- I/ We hereby give my/our consent to TTTL for downloading my/our data from Central KYC Records Registry and further give consent to receiving information through SMS/Email on the above registered mobile number / email address.

(2)

Signature / Thumb impression with seal

Date: dd/mm/yyyy Place: \_\_\_\_\_

## 2. DETAILS OF RELATED PERSON\* - II (Please refer instruction E in separate booklet )

☐ 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)

### ☒ 2.1 PERSONAL DETAILS\* (Please refer instruction E in separate booklet )

Name\* (Same as ID proof)  Prefix  First Name  Middle Name  Last Name

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

Please tick, if applicable : ☐ PEP ☐ RPEP ☒ NPEP ☒ NRPEP

### ☒ 2.2 PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction E in separate booklet )

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-NRAGA Job Card

☐ E-National Population Register Letter

☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed PoA

V ☐ Self Declaration

PHOTOGRAPH

Please affix  
your recent passport  
size photograph

Signature / Thumb  
impression with seal

#### Address

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

### ☒ 2.3 CONTACT DETAILS (All communications will be sent provided Mobile no. / Email-ID) (Please refer instruction D in separate booklet )

Tel.(Off)  -  Tel.(Res.)  -  Mobile  -

Email ID

### 2.4 Applicant Declaration

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.
- I/We hereby consent to receiving information from all KRA's through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my / our KYC request shall be validated against Aadhaar details. I/We hereby give my / our consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I / We have a business relationship for KYC purposes only.
- I / We hereby give my/our consent to TTTL for downloading my/our data from Central KYC Records Registry and further give consent to receiving information through SMS/Email on the above registered mobile number / email address.



Signature / Thumb impression with seal

Date:           Place:



### 3. DETAILS OF RELATED PERSON\* - III (Please refer instruction E in separate booklet )

☐ 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)

### ☒ 3.1 PERSONAL DETAILS\* (Please refer instruction E in separate booklet )

Name\* (Same as ID proof)  Prefix  First Name  Middle Name  Last Name

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

Please tick, if applicable : ☐ PEP ☐ RPEP ☒ NPEP ☒ NRPEP

### ☒ 3.2 PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction E in separate booklet )

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-NRAGA Job Card

☐ E-National Population Register Letter

☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed PoA

V ☐ Self Declaration

PHOTOGRAPH

Please affix  
your recent passport  
size photograph

Signature / Thumb  
impression with seal

#### Address

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

### ☒ 3.3 CONTACT DETAILS (All communications will be sent provided Mobile no. / Email-ID) (Please refer instruction D in separate booklet )

Tel.(Off)  -  Tel.(Res.)  -  Mobile  -

Email ID

### 3.4 Applicant Declaration

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.
- I/We hereby consent to receiving information from all KRA's through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my / our KYC request shall be validated against Aadhaar details. I/We hereby give my / our consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I / We have a business relationship for KYC purposes only.
- I / We hereby give my/our consent to TTTL for downloading my/our data from Central KYC Records Registry and further give consent to receiving information through SMS/Email on the above registered mobile number / email address.

(2)

Signature / Thumb impression with seal

Date:         Place:

#### 4. DETAILS OF RELATED PERSON\* - IV (Please refer instruction E in separate booklet )

☐ 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)

#### 4.1 PERSONAL DETAILS\* (Please refer instruction E in separate booklet )

Name\* (Same as ID proof)  Prefix  First Name  Middle Name  Last Name

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

Please tick, if applicable : ☐ PEP ☐ RPEP ☒ NPEP ☒ NRPEP

#### 4.2 PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction E in separate booklet )

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-NRAGA Job Card

☐ E-National Population Register Letter

☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed PoA

V ☐ Self Declaration

PHOTOGRAPH

Please affix  
your recent passport  
size photograph

Signature / Thumb  
impression with seal

#### Address

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

#### 4.3 CONTACT DETAILS (All communications will be sent provided Mobile no. / Email-ID) (Please refer instruction D in separate booklet )

Tel.(Off)  -  Tel.(Res.)  -  Mobile  -

Email ID

#### 4.4 Applicant Declaration

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.
- I/We hereby consent to receiving information from all KRA's through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my / our KYC request shall be validated against Aadhaar details. I/We hereby give my / our consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I / We have a business relationship for KYC purposes only.
- I / We hereby give my/our consent to TTTL for downloading my/our data from Central KYC Records Registry and further give consent to receiving information through SMS/Email on the above registered mobile number / email address.



Signature / Thumb impression with seal

Date:           Place:

## CONSTITUENT PROFILE

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

<p>1. BANK NAME <input type="text"/></p> <p>ACCOUNT NO : <input type="text"/></p> <p>BRANCH : <input type="text"/></p> <p>ADDRESS: <input type="text"/></p> <p>PIN CODE: <input type="text"/></p> <p>9DIGIT MICR CODE: <input type="text"/></p> <p>IFSC CODE: <input type="text"/></p> <p>ACCOUNT TYPE: <input type="checkbox"/> SAVINGS <input type="checkbox"/> CURRENT <input type="checkbox"/> NRI <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> OTHERS: _____</p>	<p>2. BANK NAME <input type="text"/></p> <p>ACCOUNT NO : <input type="text"/></p> <p>BRANCH : <input type="text"/></p> <p>ADDRESS: <input type="text"/></p> <p>PIN CODE: <input type="text"/></p> <p>9DIGIT MICR CODE: <input type="text"/></p> <p>IFSC CODE: <input type="text"/></p> <p>ACCOUNT TYPE: <input type="checkbox"/> SAVINGS <input type="checkbox"/> CURRENT <input type="checkbox"/> NRI <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> OTHERS: _____</p>
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For Demat Operations only one Bank Account is acceptable hence please fill in bank details for DP Operation in A-1 above only and also fill the same details on Page No. 21/25

### (B) DEPOSITORY ACCOUNT DETAILS

	DP Name	DP ID	BENEFICIARY ID	DEFAULT ID
1.				<input type="checkbox"/>
2.				<input type="checkbox"/>
3.				<input type="checkbox"/>

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

RBI Ref. No.

RBI Approval Date  /  /

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

### (D) PAST ACTIONS

- Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchanges / Commodity exchanges 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: ..... **NIL** .....

### (E) DEALINGS THROUGH ANY MEMBER / AUTHORISED PERSONS / OTHER STOCK BROKERS





- If client is dealing through the any member / authorised person, provide the following details:  
 Authorised Person's Name:   
 SEBI Registration No.:   
 Registered office address:   
 Ph:  Fax:  Website:
- Whether dealing with any other stock broker/ authorised person's (if case dealing with multiple stock brokers / authorised person's 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



## TRADING PREFERENCES IN CASE YOU WISH TO TRADE IN SELECTED EXCHANGE OR SEGMENTS

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


### EXCHANGES

BSE / NSE			MCX
CASH	FUTURE AND OPTIONS	CURRENCY	COMMODITY DERIVATIVES
(3) 	(3) 	(3) 	(3) 

If you do not wish to trade in any of the said Segments, please mention here: \_\_\_\_\_

OR

## TRADING PREFERENCES IN CASE YOU WISH TO TRADE IN ALL EXCHANGES

EXCHANGES	BSE / NSE / MCX
	ALL SEGMENTS
	(3) 

## TARIFF SHEET

### Cash Market/ Capital Market

TRADING				DELIVERY	
Brokerage	Min (P)	(%)	Slab No.	Min (P)	(%)
1st Side	3	0.03 %		3	0.30 %
2nd Side (Same Day 2nd Side)	3	0.03 %		3	0.30 %

### F & O / Derivative Market / Currency Derivative / Commodity Market

	EQUITY DERIVATIVES			EQUITY OPTION		CURRENCY DERIVATIVES			CURRENCY OPTION	
	Min (P)	(%)	Slab No.	Per Lot	Slab No.	Min (P)	(%)	Slab No.	Per Lot	Slab No.
1st Side	3	0.03 %		Rs.50/-		3	0.03 %		Rs.50/-	
2nd Side	3	0.03 %		Rs.50/-		3	0.03 %		Rs.50/-	

NIFTY			BANK NIFTY			COMMODITY DERIVATIVES / OPTIONS		
Min (P)	(%)	Options	Min (P)	(%)	Options	Min (P)	(%)	Options
3	0.03 %	Rs.50/-	3	0.03 %	Rs.50/-	3	0.03 %	Rs.50/-
3	0.03 %	Rs.50/-	3	0.03 %	Rs.50/-	3	0.03 %	Rs.50/-

Other Charges Stamp Duty ☒ Yes ☐ No  
 Turnover Tax ☒ Yes ☐ No  
 GST ☒ Yes ☐ No

Other Charges STATUTORY COST ☒ Yes ☐ No  
 STT / CTT ☒ Yes ☐ No


Note : • GST/ Turnover Tax / Statutory Cost / Stamp Duty / CTT will be applicable as per Government Norms & the above charges are subject to change as per regulatory authorities. • Clearing Charges Levied on us by clearing member / clearing house would be collected on actuals.

## 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
4. I/ We have noted that you trade in OWN/PRO account as per SEBI/MRD/SE/CIR.- 42/2003 dated November 19, 2003 as mandated by the SEBI and on the Exchange( s).
5. I/We hereby confirm that I/We are aware of the Delayed Payment Charges of the Stock Broker.
6. I/We hereby confirm that in case brokerage per exchange per day is less than Rs.10/- then difference will be levied as minimum contract generation charges provided not exceeding 2.5% and also I / We hereby confirm that I/We are aware of the brokerage charges levied to me / us by the broker.

Place -----

Date


  
(4)

**Signature of Client**

## 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			
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.

**For Troo Tribe Tech Limited**



**Signature of the Authorised Signatory**

Date



## RUNNING ACCOUNT AUTHORISATION

(VOLUNTARY)

To,

**Troo Tribe Tech Limited**

Date : 

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I/We are dealing through you as a client in Security Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment or Commodity Derivative Market & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to retain funds with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund account, once in every calendar Quarter or once in a calendar Month as given in my/our preferences in KYC form.
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite collateral /funds towards such obligations.
5. I/We confirm you that I/We will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 days from the date of receipt of funds or statement of account or statement related to it, as the case may be at your registered office.
6. I/We am/are aware that in terms of SEBI Circular CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019 any excess securities available in your client collateral / collateral account will be release to me / us along with funds settlements after making necessary retention as may be permitted by regulators.
7. I/We confirm you that I/We can revoke the above mentioned authority in writing at any time.
8. I/We understand that there will be no inter client adjustments while settling my accounts even if the other client is related to me.



**Once in a Calendar Quarter**



**Once in a Calendar Month**

**Note:** The authorization shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.

### APPENDIX B FOR UNDERTAKING FOR SERVICES BY WAY OF SMS / EMAIL ID / WHATSAAP ALERTS BY TRADING MEMBER ON MOBILE PHONES / EMAIL ID / WHATSAAP

I/We are having a trading account with yourself for the purpose of trading on NSE /BSE / MCX

I/We have registered the mobile number 

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 and email id \_\_\_\_\_ for receiving SMS alerts/ EMAIL alerts / Whatsapp alerts in respect of various services being offered by the above respective exchanges mentioned above and Trading Member. Further, I/We are aware that the above exchange also provides trade alerts through SMS /EMAIL alerts / Whatsapp alerts and I / We agree to receive the same through above mentioned Email and Mobile number, which is an additional facility provided by them and I / We won't held liable for the same to the respective exchanges and trading member.

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

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

I/We declare and agree that the trading member shall not be responsible for any loss suffered by me/us or account of executing or omitting to execute any trades in pursuance of the SMS alerts or EMAIL alerts / Whatsapp alerts and/or other related information pertaining to investments sent by the trading member. I/We shall not have any claim whatsoever against the trading member in respect of the above mentioned acts or omissions.

I/We authorize to send consolidated summary of my/our scrip-wise and derivatives-wise details of buy and sell positions taken with average rates to me / us by way of SMS / EMAIL / Whatsapp alerts on a daily basis. I/we hereby state that my/our number is not under Do not disturb directory and I / we am/are availing this services on my/our own will and there will be no financial obligations of TTTL in case if legal disputes. I/We further confirm that if my / our mobile number is under DND then also I/We hereby state that sending any information related to my / our trading or demat account any promotional offers / marketing offers / greetings like birthday / anniversary / etc. shall not be construed as violation under DND by me/us.

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

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

UCC Code: \_\_\_\_\_

Mr./ Ms./ Mrs. \_\_\_\_\_



FORMAT FOR APPENDIX A  
ELECTRONIC CONTRACT NOTE [ECN] - DECLARATION (VOLUNTARY)

To,  
Troo Tribe Tech Limited

Dear sir,

I/We \_\_\_\_\_  
a client with Member **M/s.Troo Tribe Tech Limited** of NSE / BSE / MCX Exchange(s) undertake as follows:

- I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I/ We myself want the same in the electronic form.
- I/We am/are aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
- I/We undertake to check the information so forwarded, regularly and bring the discrepancies if any to TTTL notice within reasonable time frame of issuance / receipt for the same.
- My/Our email id is \_\_\_\_\_.

(The said Email ID must be written in own handwriting.) This has been created by me/us and not by someone else.

- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above Email ID.

**The above declaration and the guidelines on ECN given in the annexure have been read understood by me/us. I/We, am/are aware of the risk involved in dispensing with the Physical Contract Note and do hereby take full responsibility for the same.**

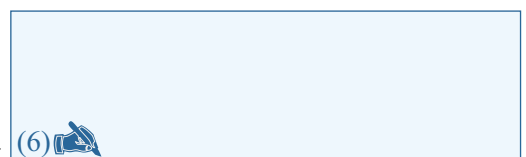
1. Client Name \_\_\_\_\_

2. Unique Client Code \_\_\_\_\_ 3. PAN \_\_\_\_\_

I/We also understand that the above instruction will remain valid from the date of signing of this authorization until it is revoked by me/us in writing.

Signature of Client

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



Date: 

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

**VOLUNTARY  
DOCUMENT**

To,  
**Troo Tribe Tech Limited**

Date : 

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

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

R/o \_\_\_\_\_ is employee with the following Stock Broker / Authorised Person / Remiser/Stock or Commodity Exchange / \_\_\_\_\_ (please strike out which is not applicable).

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

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

### INDEMNITY CUM UNDERTAKING

1. That I further undertake to open a bank account in accordance with the name as appearing on the Income Tax website within one week from the date of signing this undertaking.
2. I further undertake that in case my name has been changed after approval from government authorities and notified in official gazette, I shall get the name change effected in PAN, Bank account etc. and furnish immediately to TTTL.
3. I undertake the signature done in the application form is my own and as per the requirement as of now is not matching with the proofs. I here confirm both the signature is my own and kindly accept the signature done on the application form.
4. That I further declare that I am responsible and I shall indemnify & keep indemnified TTTL, its directors, officers, employees and agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements, actions, suits, proceedings arising out of or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA), share transfer, dematerialization of securities, rematerialization of securities, dividends, interest, etc., that may arise due to name or signature discrepancy or due to non compliance or any liability suffered or incurred or fastened on to TTTL due to TTTL accepting this Declaration-cum-undertaking and/or acting on this basis.

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

### VERBAL ORDER ACCEPTANCE AUTHORISATION

I/We have been / shall be dealing through you as my/ our broker on the Capital Market / Mutual Fund / Futures & Options Segments/Currency Derivative Segments / Commodity Derivative Segments. As my/our broker, I/We direct and authorize you to carry out trading/dealings in my / our account on my/our behalf. Further, as placing any order for buying or selling in writing is a cumbersome process and in practical, hence I / We request you accept verbal / telephonic trade orders placed by me /us.

I / We shall call on your universal number or any number provided by you or your AP, for placing any order for buying or selling. In case I / We wish to place orders In-Person then I / We shall submit latest format of order instruction hard copy which will be provided to me / us at your branch or at A.P. office.

Further I/We also authorise you to accept our trade request on SMS / Email Id / Whatsapp or any other mode which is feasible or approved by the regulators. I / We understand that Troo Tribe Tech Limited may place temporary or permanent restriction on one or more methods of order placement as per their risk analysis and technical constraints.

I/We understand the risk associated with verbal orders and I/We shall be liable for all risks, losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above. Further, please note that we shall maintain the records of the trades executed by you whether over the telephone or In-Person or any other mode chosen by you at our premises, as per applicable laws, rules and regulations of SEBI / Exchanges for reasonable time frame. These records may be produced on demand before any Statutory Authority or SEBI or any Regulator Body or Exchanges.

I/We agree to the terms and conditions of the above mentioned declarations.

Thanking you,  
Yours Faithfully

(7) 

## FORMAT OF DECLARATION FOR JOINT FAMILY ACCOUNT

To,  
**Troo Tribe Tech Limited**

**Demat Account No.:**



**UCC Code** \_\_\_\_\_

1. WHEREAS the Hindu Undivided Family of \_\_\_\_\_  
(hereinafter referred to as 'the said joint family' and / or 'the said HUF')  
have or desire to have Broking A/c. with M/s **Troo Tribe Tech Limited** (hereinafter to as 'Member') we, the undersigned, hereby declare
  - a) that we are the present adult co-parceners of the said joint family;
  - b) that Mr. \_\_\_\_\_ is the present **Karta** or Manager of the said Joint Family.
  - c) that we are entitled to trade in shares / commodity derivatives and open Share Broking / Commodity Account of the said Joint Family.
  - d) that each one of us has full and unrestricted authority to act on behalf of, and bind, the said HUF & all the present as well as future members, both adults and minors, of the said joint family, howsoever constituted from time to time.
2. We confirm that the affairs of the said joint family and the business of the said HUF are carried on mainly by the Karta/Manager, on behalf and in the interest and for the benefit of all the co-parceners of the said joint family. We hereby authorize the Karta/ Manager on behalf of the HUF to deal on Cash/Capital market segment (CM) and/or Derivatives/Futures and Options segment (F&O) (commodity derivatives ) and the said Trading Member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. The Said Karta is authorized to sell, purchase, transfer endorse, negotiate documents and / or otherwise deal through on behalf of the HUF. He is also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF. to the Member and agree and confirm that any claim due to the Member from the said HUF shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor coparceners, if any.
3. We undertake to inform the Member in writing of any change that may occur in the Kartaship / Managership or in the constitution of the said joint family or to the said HUF and until receipt of such notice by the Member, the Member will be entitled to regard each of us as a member of the said joint family and as a partner of the said HUF and all acts, dealings and transactions purporting to have been done on behalf of the said joint family or of the said HUF before the Member shall have received notice in the manner aforesaid, shall be binding on the said joint family and the said HUF and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member for all dues and obligations of the said HUF in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.
4. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf to, and bind, the said HUF

Name of the Minor	Father's Name	Date of Birth

5. We have received and read a copy of the member's rules and regulations for the conduct of Share Broking / Commodity Account and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

### 6. List of Co-Parceners / Karta as on date and our signatures are as follows :

Sr. No.	Name	PAN No.	Date of Birth / Age	Relation	Signature
1				Karta	
2					
3					
4					

Name of HUF \_\_\_\_\_

## Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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.

Client's Signature

(8) 

## Declaration Cum Undertaking for Trading in Currency Segment

I / We would like to take a position in exchange traded foreign exchange derivative contracts for the purpose of hedging contracted exposure and consequently hereby certify / declare that I / We have an existing valid underlying contracted exposure which has been not hedged using any other derivative contract and would establish the same as and when required by Troo Tribe Tech Limited or any regulatory authority. I am / We are fully aware of various FEMA guidelines / directions issued by Reserve Bank Of India (RBI) from time to time and also the consequences of the violations of the same and undertake to keep indemnified Troo Tribe Tech Limited. and its employees against any action done by me / us for the same. So please allow me / us to take a position in exchange traded foreign exchange derivative contracts.

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

Client's Signature

(9) 

## SELF DECLARATION FOR COMMODITY WISE CATEGORIZATION







To,  
Troo Tribe Tech Limited

Dear Sir,

I/ We \_\_\_\_\_

having PAN no. \_\_\_\_\_ do hereby declare as under.

I/We declare that I/We have acquired and are having sufficient knowledge about the Commodity Market and are being well acquainted with its procedures / risks. I/We am / are desirous of entering into the Commodity Market for dealings in commodities. I/We wish to trade in Commodity Market of MCX Exchanges respectively. Further I/We declare that I/We come in the following category mentioned below and selected:

CATEGORY CODE	CATEGORY	SELECTION
1	FPOs / Farmers	
2	VCPs / Hedgers	
3	Proprietary Traders	
4	Domestic Financial Institutional Investors	
5	Foreign participants	
6	Others (Trader)	(10) 

For others please specify the reason for others \_\_\_\_\_

Further, I / We take full responsibility of the trades executed by me / us on commodity market and I / We confirm you that all the liabilities or any compliance issue or any legal implications in this regard will be solely borne by me / us.

### List of commodities are given below:

MCX - SYMBOL	CATEGORY CODE
ALUMINIUM	6
BRASSPHY	6
CARDAMOM	6
CASTORSEED	6
COPPER	6
COTTON	6
CRUPALMOIL	6
CRUDEOIL	6
GOLD	6
LEAD	6
MENTHAOIL	6
NATURALGAS	6
NICKEL	6
PEPPER	6
RBDPALM	6
SILVER	6
ZINC	6

\*Any other, commodity other than above mentioned in MCX exchange respectively, kindly specify & I/We authorise you to add all other commodities under category OTHERS if I/We did not specify or select from the above list or any new commodity if comes in future.



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

To,  
**Troo Tribe Tech Limited**

Date: 

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Dear Sirs,

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

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

☐ Email ID: \_\_\_\_\_

☐ Mobile No: 

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

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

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

☐ Trading account with **Troo Tribe Tech Limited** (if Any): \_\_\_\_\_

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

Further, I/We hereby declare that the details furnished above are true and correct to the best of my /our knowledge and belief and I / We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/We may be held liable for it.

Thanking You,

Yours Faithfully,

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

(11) 

Signature

## ACKNOWLEDGEMENT

I / We acknowledge with thanks the receipt of a duly executed copy of the KYC kit with supporting documents, as per SEBI guidelines.

I / We further acknowledge the receipt of a separate booklet containing all the mandatory documents containing Rights & Obligation of Stock Broker, Authorised Person and Clients / Internet & Wireless Technology Based Trading Facility / Risk Disclosure Document ( RDD ) / Guidance – DO's and DON'T's / Policies and Procedures of Trading Member along with the Rights & Obligation of NSE / BSE for Margin Trading Funding (MTF) and Terms and Conditions prescribed by TTTL for MTF and Declaration from the client stating that client is liable to pay the margins which are required by the exchanges & other obligations.

The above mentioned documents are also available in the Vernacular languages and on our website at <http://www.troo-tribe.com/market.php-Account Opening Form - CRF form in vernacular languages equity / commodity and can be downloaded>.

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

UCC Code: \_\_\_\_\_

(12) 

Client's Signature / for Non Individual  
Please affix the seal also

[www.troo-tribe.com](http://www.troo-tribe.com)

REGISTRATION DETAILS		
<b>CASH SEGMENT / FNO SEGMENT/ CURRENCY DERIVATIVES SEGMENT</b>	<b>NSE : SEBI Regn. No : INZ 000292638 - Broker Code :07276</b> <b>BSE : SEBI Regn. No : INZ 000292638 - Broker Code : 3207</b>	<b>Date of Registration:</b> <b>11 8 08 19 91 51</b> <b>19 09 20 01 71</b>
<b>COMMODITY DERIVATIVES SEGMENT</b>	<b>MCX : SEBI Regn. No : INZ 000292638 Member Code : 28355</b>	<b>11 20 22 02 11</b>
<b>CLEARING MEMBER</b>		
Troo Tribe Tech Limited (INZ 000292638)	NSE Cash, NSE FNO, MCX	
Orbis Financial Corporation Limited (INZ000165534)	NSE CD	

<b>CIN Number: U74899DL1994PLC062140</b>			
For any grievance/dispute please contact Troo Tribe Tech Limited at the given registered address or following officer			
<b>Designation</b>	<b>Name</b>	<b>Telephone</b>	<b>EMAIL ID</b>
Director	Ramratan Chirania	022-45148180	info@trootribe.com
Compliance Officer	Swapna Pednekar	022-45148196	complianceofficer@trootribe.com
Grievances/Dispute/Suggestion	Swapna Pednekar	022-45148196	complianceofficer@trootribe.com
<b>In case not satisfied with the response, please contact the exchange</b>			
<b>NSE : ignse@nse.co.in and Phone no. 022-26598190 Fax No.:022-26598191</b>		<b>MCX : grievance@mcxindia.com Tel: 022-6731 8888</b>	
<b>BSE : is@bseindia.com .Phone No.:022-22728097, Fax No.:022-22723677</b>			

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any Queries or Feedback or Assistance please contact SEBI on toll free helpline at 1800227575/18002667575

INSTRUCTIONS / CHECK LIST	
<b>1. Additional documents in case of trading in derivatives segments - illustrative list:</b>	
Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self - declaration with relevant supporting documents.

- \*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
  - Demat master or recent holding statement issued by DP bearing name of the client.
  - For individuals:
    - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ authorised persons office.
    - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
  - For non-individuals:
    - Form need to be initialized by all the authorized signatories.
    - 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.

#### Instructions to the Applicants for account opening:

- Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
- Signatures should be preferably in blue ink.
- Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
- In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- All correspondence / queries shall be addressed to the applicant.
- For receiving Statement of Account in electronic form:
  - Client must ensure the confidentiality of the password of the email account.
  - Client must promptly inform the Participant if the email address has changed.
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever option, in the account opening form, is not applicable.



**TROO TRIBE TECH LIMITED**

**Equity | Derivatives | Currency | Commodity**

**Troo Tribe Tech Limited**

[www.trootribe.com](http://www.trootribe.com)

**SEBI Reg. No.: INZ000292638**

**Member of :**

National Stock Exchange of India Limited (NSE) Equity, Derivative, Currency

Bombay Stock Exchange Limited (BSE) Equity

Multi Commodity Exchange of India Limited (MCX)