

Form No.

DPID Stamp:

IN300095

Group/sub group code: \_\_\_\_\_

**For Branch Use Only**

**Upfront Payment Details:**

Amount(Rs.):	
Cheque No.	
Cheque Dt.	
Bank details.	

**Break-up of payment:**

1-Maintenance:	
2-Stamp Charges:	
3-Others	
Total:	

Acceptance date	
Accepted by:	
Accepted by (Sign):	
DSA code:	
DSA Auth. Signatory:	
Branch Manager/ Authorized official:	

**For HO use only:**

Inward date:	
Client Id.:	
Kit dispatch date:	
Scanning:	

Branch Stamp

HO Stamp

**NSDL Account Opening Form**

Form No.

DPID Stamp:

IN300095

**Client Acknowledgment Copy**  
**IL&FS Securities Services Limited**


**Please pay by cheque only. Do not pay cash or by bearer cheque**

We hereby acknowledge the receipt of the account opening application form:

Name of the sole/first holder	
Name of second joint holder	
Name of third joint holder	
Along with cheque No.	
drawn on	
	dated
	for amount of Rs

Depository participant seal and signature

HELP CHECKLIST FOR FILLING THE DP ACCOUNT OPENING FORM	
<b>Account opening form</b>	<b>Tick here</b>
<b>Page 3</b>	
Type of account ticked	
Name in Account Opening form to be same as name in the PAN card (all holders)	
Address for communication to be ticked	
<b>Page 4</b>	
In case the sole holder is a Minor, guardian details to be mandatorily filled	
In case the type of account is "NRI", overseas address to be mandatorily filled	
Bank details duly filled	
Account to be operated through POA - option ticked	
Standing instruction ticked	
Account Statement Requirement ticked	
<b>Page 7</b>	
Nomination or Dissent to nomination is mandatory	
In case nomination is desired, all the details of the nominee and details of witness to be filled. 2 signatures of nominee, one across the photo and one in the space provided	
<b>General</b>	
Full address of the holder(s) to be mentioned	
PAN details to be filled ( all holders)	
All blanks are to be struck off	
Cancellations, Corrections or Overwriting, if any, are to be authenticated by all the holder(s)	
All communication shall be sent at the address of the Sole/First holder only.	
Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate	

<b>Documents to be submitted for opening a Demat Account :</b>	
Account Opening Form - completed in all respects as mentioned in the checklist	
Upfront/ Dp bill cheque in favour of "ISSL" OR " IL&FS Securities Services Limited	
<p>1. Any one or more of the documents given below can be accepted as proof of bank details:            a) Specimen copy of cheque/cancelled cheque    b) Copy of Bank Statement            c) Copy of Bank Passbook    d) Letter from Bank</p> <p>2. The aforesaid documents specified at point no. (1) above must contain the following informatin to be acceptable as proof for bank details:            a) Bank Name    b) Branch Address    c) IFSC/MICR code            d) Name of account holder    e) Account Number</p>	
Applicant contact no - Landline/Mobile number required. Mobile number is mandatory for POA operated accounts	
Holder(s) signature required in all highlited places as indicated in the account opening form	 <div style="border: 1px solid black; width: 200px; height: 30px; display: inline-block;"></div>
F denotes the First Holder. S denoted the Second Holder. T denotes the Third Holder	
Rate sheet duly signed	
POA (if applicable) duly signed and completed	
FATCA details to be filled	

Form No.

## Application for Opening a Demat Account for INDIVIDUALS - FORM 9

INSTRUCTIONS: 1. PLEASE FILL ALL THE DETAILS IN CAPITAL LETTERS ONLY. 2. STRIKE OFF WHICHEVER IS NOT APPLICABLE 3. MANDATORY FIELDS ARE INDICATED IN RED																				
DATE	D	D	M	M	Y	Y	Y	Y	CLIENT ID											

<b>TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)</b>		
<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Margin
<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Others (Please specify) _____
<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Promoter	

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

<b>HOLDERS DETAILS</b> (Name should match with the PAN Card submitted)														
Sole / First Holder's Name									PAN					
									UID					
									Date of Birth					
Sole / First Holder's Correspondence Address														
											City			
	State					Country				PIN				
Sole / First Holder's Permanent Address														
											City			
	State					Country				PIN				
	Mobile No.									E-mail ID				
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).														
Second Holder's Name (Not allowed if the first holder is a minor or if it is a HUF Account)									PAN					
									UID					
									Date of Birth					
Second Holder's Permanent Address														
											City			
	State					Country				PIN				
	Mobile No.									E-mail ID				
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).														
Third Holder's Name (Not allowed if the first holder is a minor or if it is a HUF Account)									PAN					
									UID					
									Date of Birth					
Third Holder's Permanent Address														
											City			
	State					Country				PIN				
	Mobile No.									E-mail ID				
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).														
ADDRESS FOR COMMUNICATION	<input type="checkbox"/> PERMANENT ADDRESS <input type="checkbox"/> CORRESPONDENCE ADDRESS <input type="checkbox"/> FOREIGN ADDRESS													

For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

a) NAME									b) PAN											
---------	--	--	--	--	--	--	--	--	--------	--	--	--	--	--	--	--	--	--	--	--

**DETAILS OF GUARDIAN (IN CASE THE SOLE HOLDER IS MINOR)**

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian's Name	PAN Of Guardian									
	Date of Birth									
Relationship of guardian with minor										
Guardian's Permanent Address										
				City						
	State		Country		PIN					
	Mobile No.			E-mail ID						

**IN CASE OF NRIs/ FOREIGN NATIONALS**

RBI Approval Reference No.			RBI Approval Date	D	D	M	M	Y	Y	Y	Y
Foreign Address											
										City	
	State		Country		PIN						
	Mobile No.			E-mail ID							

**SOLE/FIRST HOLDERS BANK ACCOUNT DETAILS [Dividend Bank Details]**

Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____									
Account Number (as per cheque leaf)										
Name of Bank										
Bank's Branch Name & Address										
	City	State								
	Country	PIN								
NON-MICR Location	<input type="checkbox"/> Yes <input type="checkbox"/> No	Cheque Leaf Attached	<input type="checkbox"/> Yes <input type="checkbox"/> No							
IFS Code (11 Character)										
9-Digit MICR Code of the Bank										
Rights & Obligation Document <small>(Please tick in the relevant box)</small>	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic									

**STANDING INSTRUCTION**

I/We authorize you to receive credits automatically into my/our Demat account.	<input type="checkbox"/> Yes (default) <input type="checkbox"/> No
--	--

Account to be operated through Power of Attorney	<input type="checkbox"/> Yes <input type="checkbox"/> No (default)
--	--

The NACH mandate executed will be only towards payment of Depository Participant dues.

SMS Alert facility: [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]

Sr. No.	Holder	Yes	No
1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>
2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>

**Sole/ First Holder**

OCCUPATION (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify) _____
Brief Details:	
Gross Annual Income Details (Please tick any one)	Income Range per annum: <input type="checkbox"/> Below Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)

**Second Holder**

OCCUPATION (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify) _____
Brief Details:	
Gross Annual Income Details (Please tick any one)	Income Range per annum: <input type="checkbox"/> Below Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)

**Third Holder**

OCCUPATION (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify) _____
Brief Details:	
Gross Annual Income Details (Please tick any one)	Income Range per annum: <input type="checkbox"/> Below Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)

Mode of receiving Statement of Account [ Tick any one ] <input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic form [Refer to the instructions in the foot note and ensure that email id is mentioned in KYC Application form]
--

<input type="checkbox"/> I/We do not wish to avail the BSDA facility for my demat account and request you to treat the demat account as a regular account even if the holding value in my account goes below the prescribed limit of Rs. 2,00,000/- <input type="checkbox"/> I/We wish to avail the BSDA facility
--

I / We would like to receive Annual Reports, AGM notices and other communications from Issuers & RTAs <input type="checkbox"/> Physical <input type="checkbox"/> Electronic (Tick the applicable box. If not marked the default option would be Electronic)
--

For Joint accounts, communication to be sent to (Refer Note 5)	<input type="checkbox"/> First holder <input type="checkbox"/> All joint account holders
Mode of Operations for Joint Accounts	<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holder or survivor(s)

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

**Notes :**

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate
- Signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.
- 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.
- In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
- In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
- Strike off whichever is not applicable.

Account Opening Kit through email	<input type="checkbox"/> Yes (default)	<input type="checkbox"/> No
Delivery Instruction Booklet	<input type="checkbox"/> Yes	<input type="checkbox"/> No (default)

**STANDING INSTRUCTION FOR AUTO PLEDGE CONFIRMATION BY PLEDGEE**

I/ We request you to enable my / our depository account with Flag **“Standing Instruction for Auto Pledge Confirmation”**  Yes  No

I/ We have read and understood the Securities and Exchange Board of India’s guide lines on pledging of shares in dematerialised form as regulated by SEBI. (Depositories and Participants) Regulations, 1996 and Depositories Act, 1996.

**Nomination Options** (Nomination can be made by submitting Nomination Form In case of dissent to Nomination, the declaration form for opting out of nomination is required to be submitted.)

<input type="checkbox"/> I/We wish to make a nomination. [ Details are provided in Nomination Form Prescribed by SEBI]	<input type="checkbox"/> I/We wish to opt out of a nomination. [Declaration Form opting out of nomination as prescribed by SEBI]
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**DECLARATION**

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

I/We hereby confirm that I/We will act on my / our own behalf and will continue to act to my/our own behalf unless otherwise communicated in writing

I/we acknowledge the receipt of copy of the documents, "Rights and Obligations of the Beneficial Owner and Depository Participant".

**DECLARATIONS RE : PREVENTION OF MONEY LAUNDERING**

Prevention of Money Laundering Act, 2002 (hereinafter referred to as "Act") came into effect from July 1, 2005 vide Notification No. GSR 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Government of India. Further, SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18,2006 mandated that all intermediaries should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Customer (KYC) policy. The intermediaries may, according to their requirements specify additional disclosures to be made by clients for the purposes of identifying, monitoring and reporting incidents of money laundering and suspicious transactions undertaken by clients. SEBI also issued another circular reference no. ISD/CIR/RR/AML/2/06 dated March 20, 2006 advising all intermediaries to take necessary steps to ensure compliance with the requirement of section 12 of the Act, inter alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi. The investor(s) should ensure that the amount invested in the securities and represented as credit in their demat account is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act, Prevention of Corruption Act and/or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the customer(s) under its KYC policy and with a view to monitor transactions, ISSL DP reserves the right to seek information, record customer’s telephonic calls and/or obtain and retain documentation for establishing the identity of the customer, proof of residence, source of funds, etc. It may re-verify identity, seek and obtain any incomplete or additional information for this purpose.

	NAME (S) OF HOLDER (S) NAME AS IN PAN CARD	SIGNATURE (S) (Use Black Ink only)
SOLE/FIRST HOLDER (Mr./Ms.)		F1 → <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
SECOND HOLDER (Mr./Ms.)		S1 → <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
THIRD HOLDER (Mr./Ms.)		T1 → <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
GUARDIAN (in case of minor) (Mr /Ms )		

## 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 IL&FS SECURITIES SERVICES LIMITED IL&FS House, Plot No. 14, Raheja Vihar, Chandivili, Andheri (East), Mumbai - 400 072.		FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																	
Date	D	D	M	M	Y	Y	Y	Y	UCC/DP ID	I	N			Client ID					
I/We wish to make a nomination. <i>[As per details given below]</i>																			
<b>Nomination Details</b>																			
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.																			
<b>Nomination can be made upto three nominees in the account.</b>		<b>Details of 1<sup>st</sup> Nominee</b>					<b>Details of 2<sup>nd</sup> Nominee</b>					<b>Details of 3<sup>rd</sup> Nominee</b>							
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:																		
		PIN Code																	
5	Mobile / Telephone No. of nominee(s)																		
6	Email ID of nominee(s)																		
7	Nominee Identification details – [Please tick any one of following and provide details of same]  <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																		
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>																			
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	<b>Guardian Identification details –</b> [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

\* 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)

**Notes:**

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
11. Savings bank account details shall only be considered if the account is maintained with the same participant.
12. DP ID and client ID shall be provided where demat details is required to be provided.

	NAME (S) OF HOLDER (S) NAME AS IN PAN CARD	SIGNATURE (S) (Use Black Ink only)
SOLE/FIRST HOLDER (Mr./Ms.)		F2
SECOND HOLDER (Mr./Ms.)		S2
THIRD HOLDER (Mr./Ms.)		T2



### 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	D	M	M	Y	Y	Y	Y
Trading Member/Participant's Name		<b>IL&amp;FS SECURITIES SERVICES LIMITED</b>							
Trading Member/Participant's Address		<b>IL&amp;FS House, Plot No. 14, Raheja Vihar, Chandivili, Andheri (East), Mumbai - 400 072.</b>							
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
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 (S) OF HOLDER (S) NAME AS IN PAN CARD					SIGNATURE (S) (Use Black Ink only)			
SOLE/FIRST HOLDER (Mr./Ms.)						F3			
SECOND HOLDER (Mr./Ms.)						S3			
THIRD HOLDER (Mr./Ms.)						T3			

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



***Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories***

**General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

**Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

**Fees/Charges/Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

**Dematerialization**

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

**Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

**Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

**Statement of account**

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

### **Manner of Closure of Demat account**

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

### **Default in payment of charges**

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

### **Liability of the Depository**

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

### **Freezing/ Defreezing of accounts**

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

### **Redressal of Investor grievance**

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

### **Authorized representative**

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

### **Law and Jurisdiction**

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Byelaws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Byelaws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties Mentioned in this document.

### **Additional Rights And Obligations**

32. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client, if the client refuses to execute PoA or DDPI."

**RATE SHEET  
SCHEDULE- A**

**CHARGES FOR THE DEPOSITORY SERVICES**

I/We agree to pay the charges as per following charge structure for our Demat account with ISSL

Client ID : \_\_\_\_\_

Effective : \_\_\_\_\_ / \_\_\_\_\_ / 20\_\_\_\_\_

<b>Charge Head</b>	<b>Charges</b>
Annual Maintenance charges	Rs.150 per quarter. At the time of new account opening AMC to be paid upfront for two quarter. In case of closure of account, AMC will be levied full for the prevailing quarter. Plus depository charges of Rs.500/-per annum for corporate accounts.
<b>Transaction charges</b> – Market / Off Market / Inter-depository Transactions	0.05% per debit instruction subject to minimum of Rs.100 plus Depository charges at actuals.
Same day pay-in execution.	Same day execution charges Rs.50 per transaction or 0.05% of the transaction value which ever is higher
Dematerialization Charges	Rs.2.00 per certificate plus courier charges of Rs.50 per demat request for every 500 gms
<b>Pledge Charges</b> Creation/Closure and Confirmation of both	0.02% of the transaction charges subject to a minimum of Rs 100 plus depositories charges at actuals
Pledge Charges for Invocation	0.05% of the transaction charges subject to a minimum of Rs 100 plus depositories charges at actuals
SLB Charges	For Security Borrowing: Rs.25 plus depository charges For Security Lending : Rs.25 plus depository charges
Rematerialization Charges	Rs.25/- per certificate or 0.05% of the value of the transaction, whichever is higher, plus courier charges of Rs.50 per remat request for every 500 gms plus depositories charges at actuals.
Repurchase / Redemption Charges	Flat Rs 25 per transaction plus Depository charges at actuals
Failed / Rejected Transactions	Rs.50/- per transaction
Demat Rejection charges	Rs.35/- per rejection plus courier charges of Rs.50 per demat rejection for every 500 gms
Adhoc / Non periodic 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 charges.
E-Mail Statement	Periodic Bills and Transactions statements and other communications will be sent by email only. 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
Consolidated Account Statement	Consolidated Account Statements (CAS) shall be sent to you by the depository by email or in physical. The courier / postage charges towards shall be levied at actuals by ISSL
<b>Margin Pledge charges</b> Repledge / Pledge Release Pledge invocation	Flat Rs 10/- per transaction plus depository charges at actuals Flat Rs 15/- per transaction plus depository charges at actuals
NDU Charges	0.05% of the transaction charges subject to a minimum of Rs.100/- plus Depository charges at actuals

F4 →

\_\_\_\_\_

Signature(s)

Sole / First Holder & Date

S4 →

\_\_\_\_\_

Second Holder & Date

T4 →

\_\_\_\_\_

Third Holder & Date

(Pls. Sign on all the pages of the ratesheet)

CLIENT ID : \_\_\_\_\_

**Other Points:**

1. All charges would attract the GST (Goods and Service Tax) and / or other such taxes as applicable from time to time
2. All payments have to be made favouring **IL&FS Securities Services Ltd.** You can pay by Cheques or Demand Drafts payable at the local branch where the account is opened. Outstation cheques will not be accepted. Payment can also be made by availing ECS facility or by choosing to pay Online.
3. All the percentages in the above structure would be applied on the value of the transaction as computed by the depository
4. Out of Pocket expenses incurred on the Dispatch of securities for Dematerialisation and communication charges incurred on out-station calls/faxes made specifically on request of the client will be charged on actuals.
5. Charges quoted above are for the services listed. Any services not listed above will be charged separately
6. Any advance payments over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount shall be adjusted against the bills raised from time to time
7. All depositories charges will be levied at actuals from time to time.

**Important Note :**

1. DP bills should be paid on or before the due date. DP reserves the right to charge interest @ 13% per annum on outstanding amount for non-payment from the bill due date. Pursuant to Clause 19 of the rights and obligation, in case of non-payment of DP charges within the due date, DP reserves the right to discontinue operation of the demat account till such time that the payment is received
2. For all purposes the Bill date shall be construed as the date of demand and the bill will be considered as the **Bill cum Notice** for payment and, IL&FS Securities Services Ltd reserves the right to “freeze depository account for debit transactions,” in case of non payment of charges after two days from the Bill due date
3. The renewal charges for resuming the depository operations will be Rs. 150 per Account and the services will be resumed in minimum of two working days from the date of receipt of request at IL&FS Securities Services Ltd branch
4. I / We understand that the above charges are subject to revision by IL&FS Securities Services Ltd after providing a notice period of 30 days. Such revisions will be notified by ordinary post / courier.

F5 → <span style="border: 1px solid black; display: inline-block; width: 150px; height: 25px; vertical-align: middle;"></span>	S5 → <span style="border: 1px solid black; display: inline-block; width: 150px; height: 25px; vertical-align: middle;"></span>	T5 → <span style="border: 1px solid black; display: inline-block; width: 150px; height: 25px; vertical-align: middle;"></span>
Sole / First Holder & Date	Second Holder & Date	Third Holder & Date

*(Pls. Sign on all the pages of the ratesheet)*

**SELF DECLARATION FORM – ANNEXURE TO ACCOUNT OPENING FORM FOR INDIVIDUALS - DP**

**Background:**

- India has joined the Multilateral Competent Authority Agreement (MCAA) on Automatic Exchange of Financial Account Information (AEOI) on June 3, 2015 and has agreed to certain global standards on automatic exchange of information, known as Common Reporting Standards (CRS). Further, the Government of India (GoI) signed an Inter-Governmental Agreement (IGA) with United States of America (USA) on July 9, 2015 to improve international tax compliance and to implement Foreign Account Tax Compliance Act (FATCA) in India.
- To implement the CRS on AEOI and also the IGA with USA, the GoI has made necessary amendments in Section 285BA of the Income-tax Act, 1961 and notified Rules 114F to 114H in the Income-tax Rules, 1962 vide amendment dated August 7, 2015 . These Rules are available on: <http://www.incometaxindia.gov.in>.
- SEBI has issued a circular dated August 26, 2015 advising all registered intermediaries to implement FATCA and CRS as per above mentioned Rules.

We do understand that the information mentioned above is technical in nature and hence we advise you to consult your financial or tax advisor for more details.

**DEMAT ACCOUNT NUMBER / FORM NO.**

[Mention NSDL 8 digit Client ID / CDSL 16 digit Client ID in the above box]

Country/countries of tax residency	Tax Identification Number (TIN)/ functional equivalent number	TIN / functional equivalent Issuing Country	Documents provided (copy of certificate of tax residence or copy of TIN or others)	Date upto which the documentary evidence is valid

Remarks if any : \_\_\_\_\_

**DETAILS OF RELATED PERSON** [In case of addition/deletion of related persons please provide the following information]

Related Person Type <input type="checkbox"/> Guardian of Minor <input type="checkbox"/> Nominee <input type="checkbox"/> Assignee <input type="checkbox"/> Authorised Representative <input type="checkbox"/> Beneficial Owner <input type="checkbox"/> Beneficiary	Name of the Related Person _____  Document submitted as proof of identity of the related person _____ *[refer below for the type of document to be submitted ]
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\*Certified copy of any one of the following Proof of Identity needs to be submitted:  
 A. Passport Number B. Voter ID Card C. PAN Card D. Driving License E. UID [Aadhar] F. NREGA Job Card G. Other [any documents notified by Central Government]

**Declaration and Undertakings**

The Customer/account holder certifies that:

- a. The information provided in the Form is in accordance with Section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income-tax Rules, 1962.
- b. The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- c. I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- d. I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self certification alongwith documentary evidence.
- e. I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /Reserve Bank of India for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.
- f. I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
- g. It shall be my responsibility / our responsibilities to educate myself / ourselves and to comply at all times with all relevant laws relating to reporting under Section 285BA of the Act read with the Rules thereunder.
- h. I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i. I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.

<p><b>F6</b> → <input style="width: 100%; height: 25px;" type="text"/></p> <p>Signature(s) <input style="width: 100%; height: 25px;" type="text"/></p> <p style="text-align: center;">Sole / First Holder &amp; Date</p>	<p><b>S6</b> → <input style="width: 100%; height: 25px;" type="text"/></p> <p><input style="width: 100%; height: 25px;" type="text"/></p> <p style="text-align: center;">Second Holder &amp; Date</p>	<p><b>T6</b> → <input style="width: 100%; height: 25px;" type="text"/></p> <p><input style="width: 100%; height: 25px;" type="text"/></p> <p style="text-align: center;">Third Holder &amp; Date</p>								
<p>Date <table border="1" style="display: inline-table; border-collapse: collapse; width: 300px; height: 20px; vertical-align: middle;"> <tr> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> </tr> </table> Place : _____</p>										





UMRN

Date

Sponsor Bank Code

Utility Code

Tick (✓)

- CREATE
- MODIFY
- CANCEL

I/We hereby authorize  IL&FS Securities Services Ltd to debit (tick ✓)  SB/CA/CC/SB-NRE / SB-NRO / Other

Bank a/c number

with Bank  IFSC  or MICR

an amount of Rupees  ₹

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented

DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1  Client ID

Phone No.

Reference 2  ₹

Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From

To

Or  Until Cancelled

Signature Primary Account holder      Signature of Account holder      Signature of Account holder

1. Name as in bank records      2. Name as in bank records      3. Name as in bank records

This is to confirm that the declaration has been carefully read, understood & made by me/ us. I am authorizing the User entity / Corporate to debit my account, based on the instruction as agreed and signed by me. I have understood that I am authorized to cancel/ amend this mandate by appropriately communicating the cancellation/ amendment request to the User entity/ Corporate or the bank where I have authorized the debit.