INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable".
BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper.
Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & updation of the same in CDSL system.
In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

CHECK-LIST → (All the documents must be self attested by applicant)

(A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

(B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder.
PAN card details of minor have to be entered in CDSL system.
In case of death of Guardian of existing Minor account holder:
In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:

i. Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
ii. The minor's account shall be frozen under the appropriate reason code till the new guardian has completed all formalities.
iii. Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
iv. The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
v. DP has to provide a copy of Rights and Obligations document to the new guardian and keep an acknowledgement of the same on record.
vi. The new guardian shall submit a fresh Nomination Form for the minor's account.
vii. After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
viii. The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
ix. POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.

After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects. The DP shall provide a copy of the Rights and Obligations document to the account holder and shall keep an acknowledgment of the same on record. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature.
The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

(C) HUF

The documents to be obtained are:

a) The PAN details of the HUF entity would have to be entered in the CDSL system.
b) Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
c) DPs shall note the following while opening a HUF account:
• HUF accounts cannot be opened with joint holder(s). • HUF accounts cannot appoint a nominee. • In the account opening form, the Karta shall sign under the HUF stamp. • Account can be opened in the name of - Existing Karta / HUF entity • The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF). • In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.

Procedure to be adopted in the event of death of Karta is as follows:

- HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta, • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue.

Procedure to be followed in case of partition of HUF:
In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.
Procedure to be followed in case of POA being given for the HUF
The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

(D) NRI

a) In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
b) A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws.
Change of status from NRI to Resident and vice versa:
It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

(E) Foreign Nationals

a) Documents – same as NRI. • b) If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

(F) Association of Persons (AOP)

a) Object of the association. b) Powers of the Managing Committee. c) Copy of the Bye Laws.

(G) Proprietary / Partnership Firms

BO accounts in the name of the Proprietorship Concern or Partnership Firm cannot be opened in CDSL system. KYC application form / KRA details are to be obtained for proprietor / partners and partnership firm. For Partnership firm, Partnership deed is also to be obtained. The pan card details of the partnership firm / proprietor is to be updated in the CDSL system.
BO's Account can have a maximum of three names associated with it: the Sole/ First Account holder, the First Joint holder and the Second Joint holder. One passport-size photograph of each applicant shall be pasted on the form along with their signatures across the photograph and Account Opening Form.

(H) Foreign Corporate

A duly signed declaration that the corporate has complied with, and will continue to comply with, FEMA Regulations and other applicable laws.

(I) Clearing Member (CM)

a) If CM is a corporate body: True copy of certificate of registration with SEBI, certified by Managing Director/Company Secretary / notarized.
b) If CM is a not a corporate body: • The CM account (CM Pool / CM Principal / 1 / Early Pay-in) may be opened in the CDSL system:
i)- either in the name of the partnership firm/entity as mentioned on the Certificate of Registration with SEBI, or ii)- in the name of the proprietor or partners (up to three partners). • Photocopy of Certificate of Registration with SEBI, duly notarized.
c) Asset Management Company (AMC) Pool Account: • This account is linked with a stock exchange.
Following document is to be submitted by the AMC for opening the pool account with any DP of CDSL for the purpose of settlement of mutual fund units:
• Letter / circular / instructions issued by the concerned Stock Exchange indicating the CM ID.

(J) OCBs

a) Certified true copy of Board Resolution, certified by Managing Director/Company Secretary for persons authorized by the Board to act as authorized signatory (ies).
b) Names of the authorized signatory (ies), designation, photographs and their specimen signatures, certified by Managing Director/Company Secretary.
c) Memorandum and Articles of Association of the Company.
d) RBI Registration Certificate.
e) Declaration from the OCB that it meets with the guidelines issued by RBI / Ministry of Finance.
f) Certificate from overseas auditors in Form OAC or OAC – 1, as may be applicable.
g) Statement of account from the Bank.

(K) Society

Registered Society: The account shall be opened in the name of the society.
Unregistered Society: a) The account shall be opened in the names of the members under "Individual" category (maximum three accountholders).
b) All the documents, as applicable for account opening under individual category, shall be obtained.

(L) Trust

Public Trust/ Charitable Trust and Trust capable of holding property in its name (Registered Trust /Public Trust):
a) Account shall be opened in the name of the Trust.
b) Certificate of Registration of Trust under the Societies Registration Act/Public Trust Act,1860 / Bombay Public Trust Act,1950 / Public Trust Act, of relevant State.
c) Certified true copy of Board Resolution to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account.
d) Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee.
Private Trust:
a) The Board of Trustees shall specify the names of the trustee/s who shall hold/ operate the demat account.
b) The account shall be opened in the names of the trustees under "Individual" category of the first named trustee (maximum three account holders).
Recognized' Funds / Trusts/ Other similar entities.
The Funds/ Trusts/ Entities presently included under this category are as follows:
a) Employees Provident Fund, which have been recognized by the Provident Fund Commissioner under Employee's Provident Funds & Miscellaneous Provisions Act, 1952.
b) Employees Gratuity Fund, which are formed under Payment of Gratuity Act, 1972.
c) Superannuation Fund which are formed under the guidelines issued by Income Tax Department.
d) Venture Capital Funds which are registered by SEBI.
(e) ESOP Trust formed pursuant to the guidelines issued by SEBI).
Accounts of the above Funds/ Trusts/ Entities shall be opened in the name of above Funds/ Trusts/ Entities as they are recognized either under the Income Tax Act or Securities & Exchange Board of India Act, etc.
Documents to be furnished by the above Funds/ Trusts/ Entities and other Funds/ Trusts/ Entities, which are similarly placed, are:
• Certificate of Registration, if any, issued by the authority recognizing the Fund / Trust / Entity as such; • Trust Deed and Rules and/or any document or charter defining their constitution and providing for management thereof; • List of Members on the Board of Trustees/Governing Body; • Certified true copy of the Resolution passed by the Board of Trustees/Governing Body to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account; • Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee;

(M) Banks

a) Certified true copy of Board Resolution, or b) Letter on the letterhead of the bank, signed by the Chairman/MD authorizing opening of account and authority given to authorized signatories to open and operate the demat account.

(N) Mutual Funds

SEBI Registration Certificate clearly indicating the name of the Mutual Fund.

(O) Escrow Account

• KYC form / KRA details of entity that is opening the account (RTA / Clearing Member / Manager to the Issue). • The photographs of the authorized signatory (ies) who would be operating the account. • PAN card of both parties i.e. Corporate entity & Escrow Agent. The PAN details of the Corporate entity would have to be captured in the CDSL system.
Procedure for opening Escrow account.
• The escrow account shall be opened in the name and form of < Issuer name> - <Reason for opening the escrow account>-operated by-<Operator Name> for e.g. Infosys Technologies Ltd. – Buyback Account - Operated by – Karvy Consultants Ltd. • The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained. • The escrow account shall be active for the limited period of the activity for which it has been opened. Such period shall be as specified by SEBI / CDSL or any such regulating authority from time to time. After the specified period is over the account shall be closed by the DP irrespective of whether the closure instruction is received from the account holder or not.

(P) Limited Liability Partnership Firm

Demat Account for Limited Liability Partnership Firm [which is registered under the Limited Liability Partnership Act (2008)]
Such an account shall be opened as: <"Company Name" Limited Liability Partnership> or <"Company Name" LLP>. For example, if the company name is "ABC" then the demat account shall be opened in the name of <ABC Limited Liability Partnership> or <ABC LLP>.
The following documents shall be obtained :
(i) Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008. (ii) Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP. (iii) The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner]/DIN [Directors Identification Number] along with their signatures and photographs. (iv) PAN Card details of the LLP are to be entered in the CDSL system. (v) The bank details in the name of the LLP, as sole / first holder in the bank account. (vi) PAN card of the authorized signatories to be kept on record. (vii) In case of change in registered office address of the LLP, the DP should take on record the notice of change of address filed by the LLP with the Registrar
• Joint holders in the demat account may be allowed. • Nomination in such demat accounts shall not be allowed. • Such demat accounts shall be opened under "Corporate" status in the CDSL system with the sub-status "Limited Liability Partnership".

CDSL
Your Depository

Additional KYC Form for Opening a Demat Account (Individual)

(To be filled by the Depository Participant)

Application No.										Date								
DP Internal Reference No.																		
DP ID	1	2	0	3	7	1	0	0	Client ID	0	0	0						

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

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

Holders Details

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

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

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

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

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

Guardian's Name		PAN										
Relationship with the applicant												

I/We instruct the DP to receive each and every credit in my/our account [Automatic Credit] (If not marked, the default option would be `Yes')	❑ Yes ❑ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	❑ Yes ❑ No

Account Statement Requirement	❑ As per SEBI Regulation ❑ Daily ❑ Weekly ❑ Fortnightly ❑ Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID_____	❑ Yes ❑ No

I/We would like to share the email ID with the RTA	❑ Yes ❑ No
I/We would like to receive the Annual Report ❑ Physical / ❑ Electronic / ❑ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

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

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

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

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

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

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

X

SMS Alert Facility Refer to Terms & Conditions given as **Annexure-2.4**	❑ Yes MOBILE NO. +91_____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	❑ No
easi	❑ Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	❑ No

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

❑ Jointly ❑ Anyone of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

❑ First Holder	❑ All Holder	Email id
	❑ Second Holder	
	❑ Third Holder	

I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details/Particulars mentioned by me/us in this form. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

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

(Signatures should be preferably in black ink). **(In case of more authorised signatories, please add annexure)**

Email ID:			
Mobile:			

NOMINATION FORM

[Annexure A to SEBI circular No. SEBI/HO/OIAE/OIAE_IAD-3/P/CIR/2026/12676 dated May 29, 2026]

(To be filled in by individual applying singly or jointly)

TM/DP Name & Address	**KEDIA SHARES & STOCKS BROKERS LIMITED** B-3505, Central Tower, Kohinoor Square, N. C. Kelkar Marg, R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028.	Nomination Registration No.	Dated

Date	D D M M Y Y Y Y	DP ID	1 2 0 3 7 1 0 0	Client ID	0 0	
❑ **I/We wish to make a nomination. [As per details given below]**				UCC		

I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our demise, as trustee and on behalf of my/our legal

Nomination Details	**Details of 1st Nominee**	**Details of 2nd Nominee**	**Details of 3rd Nominee**
	Mandatory Details		
1a. First Name			
Middle Name			
Last Name			
b. Relationship With the Applicant			
c. Date of Birth (in case of minor nominee(s))	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y

2. I/We want the details of my/our nominee to be printed in the statement of holding or statement of account, provided to me/us by the DP as follows; (please tick, as appropriate)
❑ Name of nominee(s)
❑ Whether nomination given: Yes/No (not name of the nominee)

3a. Share of each Nominee Equally (If not equally, please specify percentage)	%	%	%
	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
Address of Nominee(s)/ Guardian in case of minor			
City			
State			
Country			
Pin			
b. Mobile No./Tele. No. of nominee(s)/ Guardian in case of Minor*			
c. E-mail ID of nominee(s)/ Guardian in case of Minor*			
❑ PAN			
❑ Aadhaar (last four digit)			
❑ Driving Licence			
❑ Passport***			

*Please note that the DP/MF RTA will be able to reach out to your nominee if you provide the contact details.
** The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.
*** In case of NRI/OCI/PIO, Passport number is acceptable.

I/We want the details of my/our nominee to be printed in the statement of holding or statement of account, provided to me/us by the DP as follows; (please tick, as appropriate)

Name of nominee(s) ❑

Nomination: Yes/No

*Joint Accounts:

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	X	X	X

****If nomination is submitted:

- **Online:** validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address.
- **Physical/offline:** wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.

Note:

1. Investors can provide, changes or cancel nominations any number of times.
2. The signature of all the joint holders shall be obtained for providing/changing nomination regardless of mode of operations.
3. This nomination shall supersede any prior nomination made by the account holder(s), if any.
4. Investors can change nomination any number of times.
5. Investor have the right to receive acknowledgement of the nomination form for each instance of nomination/subsequent change.
6. For all single accounts/folios the investor shall mandatorily provide nomination, unless declaration form for 'opt-out' is submitted as above. Nomination will be optional for jointly held demat account/folios.
7. The consent of all the joint-holders shall be required for providing or changing nominee regardless of mode of operations.
8. In case of multiple nominees, upon the demise of the investor, the nominees may either continue in the same account/folio or open separate account/folio, for their respective holding.

Rights, Entitlement and Obligation of the investor and nominee:

- The signatories for this nomination form shall be as per mode of holding in the folio(s)/demat account(s) i.e.
  - 'Either or Survivor' Folios/Accounts - any one of the holder can sign
  - 'First holder' Accounts - only First holder can sign
  - 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion/updation of KYC of the nominee(s). The nomimee is not required to provide affidavits, indemnitites, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP. • In case of multiple nomineees the assets shall be distributed pro-rata to the surviving nominees.

% share as specified by investor at the time of nomination		**% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'**			
Nominee	**% share**	**Nominee**	**% initial share**	**% of A's share to be apportioned**	**Total % share**
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	**100%**	-	**40%**	**60%**	**100%**

Declaration Form for opting out of nomination

Annexure B

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

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

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

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

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	X	X	X

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

	Witness 1	**Witness 2**
Names of **Witness**		
Address of **Witness**		
Signature of **Witness** (W)		

CDSL
Your Depository

Additional KYC Form for Opening a Demat Account (For entities other than Individuals)

Application No.									Date								
DP Internal Reference No																	
DP ID	1	2	0	3	7	1	0	0	Client ID	0	0	0					

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

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

Holders Details

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

Name*	

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

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

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

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

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be `Yes')	❑ Yes ❑ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	❑ Yes ❑ No

Account Statement Requirement	❑ As per SEBI Regulation ❑ Daily ❑ Weekly ❑ Fortnightly ❑ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID_____	❑ Yes ❑ No

I/ We would like to share the email ID with the RTA	❑ Yes ❑ No
I / We would like to receive the Annual Report ❑ Physical / ❑ Electronic / ❑ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

Clearing Member Details (To be filled by CMs only)

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

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

Bank Details (Dividend Bank Details)

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

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

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

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

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

SMS Alert Facility Refer to Terms & Conditions given as **Annexure-2.4**	❑ Yes MOBILE NO. +91_____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	❑ No
easi	❑ Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	❑ No

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.		
❑ First Holder	❑ All Holder	Email id
	❑ Second Holder	
	❑ Third Holder	

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

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

(Signatures should be preferably in black ink). **(In case of more authorised signatories, please add annexure)**

Email ID:			
Mobile:			

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, EBI (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 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.

12. 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.

13. 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

14. 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.

15. 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.

16. 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.

17. 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

18. 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.

19. 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 02 days as per procedure specified from time to time by the depository incase of no outstanding dues and in case of outstanding dues, shall provide 30 days notice. In case of non-payment of dues, DP shall reject the account closure request and in case the dues are cleared by BO, respective account shall be closed by DP within 2 working days of clearing the dues. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the (BO) or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. 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.

21. 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

22. 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

23. 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.

24. 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.

25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

26. 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

27. 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

28. 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.

29. 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.

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

31. 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

32. 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.

33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, 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.

X _____	X _____	X _____
Sole / First Holder	Second holder	Third Holder

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL (SMS Alerts will be sent by CDSL to BOs for all debits and for all credits as well.)

Definitions:

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

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

Availability:

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

Receiving Alerts:

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

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

1	2	0	3	7	1	0	0		0	0	0					

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

Sole / First Holder's Name :_____

Second Holder's Name :_____

Third Holder's Name :_____

Mobile Number on which messages are to be sent

+91										

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

The mobile number is registered in the name of: _____

Email ID:_____

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

X _____ X _____ X _____

Signatures Sole / First Holder Second holder Third Holder

Place: _____ Date: _____

Basic Services Demat Account

To,

Kedia Shares & Stocks Brokers Limited

B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg,
R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028.

Date: _____

Dear Sir/Madam,

❑ I/We wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form.

❑ I/We do not wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form

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

❑ I/We do not wish to avail the BSDA facility for my/our below mentioned demat account number:

DP ID	1	2	0	3	7	1	0	0	Client ID	0	0	0					

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

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

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

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

Eligibility for BSDA:

1. Bo who has only one demat account where he/she is the sole or first holder.
2. Bo can have only one BSDA in his/her name across all depositories.
3. Value of securities held in the demat account shall not exceed ₹ 10,00,000 for debt and other than debt securities combined at any point of time.

= (Please Tear here) =

ACKNOWLEDGEMENT RECEIPT

Received BSDA declaration form from:

DP ID	1	2	0	3	7	1	0	0	Client ID	0	0						
Name																	
Address																	

For **Kedia Shares & Stocks Brokers Limited**

Date:

(Authorised Signatory)

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

DP ID	1	2	0	3	7	1	0	0	Client ID	0	0						
Sole/First Holder																	
Second Holder																	
Third Holder																	

To,

Kedia Shares & Stocks Brokers Limited

B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg,
R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028.

DP ID: 12037100

Dear Sir/Madam,

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

❑ **OPTION 1:**

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

Yours faithfully,

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

❑ **OPTION 2:**

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

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

(This declaration part form of DP Account Opening Form)

Date:_____

To,
Kedia Shares & Stocks Brokers Ltd.
B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg,
R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028.

Declaration by the BO for Understanding the terms and conditions and other information filled-up in the Demat Account Opening Form

I/We the sole holder/Joint/Joint holders/Guardians (in case of minor) hereby declare(s) that we have been explained and understand the contents and information duly filled-up in the Demat Account Opening Form and also have been explained and understood the various term(s) and condition(s) as laid down by CDSL.

This declaration is given to the fact that we have signed the Demat Account Opening Form other than in English language.

Client Name																
Account No.																

X
_____
Client Signature

Place:

— — — —

To, (For Individuals)

Kedia Shares & Stocks Brokers Ltd.
B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg,
R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028.

Kindly note the following details for my / our Demat BO id . _____maintained with you

FATCA / CRS DETAILS:-

First Holder:-	
Place and country of Birth	
Are you assessable to tax in any country other than India (yes/no)	
If no, we declare that	I/We are Indian citizens, my/our residence for tax purposes is India and I/we am/are not a "US person" as defined in Rule 114F of the Income Tax Rules, 1962
If yes, then kindly provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country (in case of multiple countries, kindly give for all the countries)	

Second Holder:-	
Place and country of Birth	
Are you assessable to tax in any country other than India (yes/no)	
If no, we declare that	I/We are Indian citizens, my/our residence for tax purposes is India and I/we am/are not a "US person" as defined in Rule 114F of the Income Tax Rules, 1962
If yes, then kindly provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country (in case of multiple countries, kindly give for all the countries)	

Third Holder:-	
Place and country of Birth	
Are you assessable to tax in any country other than India (yes/no)	
If no, we declare that	I/We are Indian citizens, my/our residence for tax purposes is India and I/we am/are not a "US person" as defined in Rule 114F of the Income Tax Rules, 1962
If yes, then kindly provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country (in case of multiple countries, kindly give for all the countries)	

I/We understand that you are relying on this information inter alia for the purpose of determining my/our status in compliance with FATCA/CRS. You are not able to offer any tax advice on CRS or FATCA or its impact on me/us. I/We shall seek advice from professional tax advisor for any tax questions. I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect. I/We agree that as may be required by domestic regulators/ tax authorities, you may also be required to report, reportable details to CBDT or close or suspend my account.

I/We certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct and complete. Kindly update the above data on the CDSL systems, the KRA systems and your back office systems and other places as desired by you.

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

Place:

Date:

Self-Certification for Entities (For Non-Individuals)
(non-individuals who are not listed/ not an Indian Financial Institution)

To,
Kedia Shares & Stocks Brokers Ltd.
B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg,
R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028.

I/we hereby declare that

- The account holder is not a Government body/International Organization/ listed company on recognized stock exchange
- The account holder is not tax resident of any country other than India
- The account holder is not an Indian Financial Institution as defined under Rule 114F(3)of the Income Tax Rules, 1962 as amended
- The substantial owners or controlling persons in the entity or chain of ownership is/are
    - o not resident for tax purpose in any country outside India
    - o are Indian citizen(s)

Under penalty of perjury, I/we further certify that:

- I/We understand that the Kedia Shares & Stocks Brokers Ltd is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Kedia Shares & Stocks Brokers Ltd is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities the Kedia Shares & Stocks Brokers Ltd may also be required to report, reportable details to CBDT or close or suspend my account.
- I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

(Company Seal, if applicable, to be affixed)

DECLARATION BY NRI CLIENTS

To, Date:_____

Kedia Shares & Stocks Brokers Ltd.
B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg,
R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028.

With reference to the opening of trading Account with you for availing facility for trading in Securities on the stock exchanges pursuant to the Regulatory guidelines of stock exchanges/Depository & other voluntary documents executed by me with you, I, hereby unconditionally & unequivocally, state, declare, undertake, confirm Kedia Shares & Stocks Brokers Ltd. (hereinafter referred to as "KSSBL") as under:

1. I am nonresident Indian/Person of Indian Origin as defined under Foreign Exchange Management Act (FEMA) and presently visiting India (strike out if not applicable).
2. I understand that the trading account is opened on the basis of statement/declarations made by me, and that if any of the statement/declarations made herein is found to be incorrect in material particulars, KSSBL may discontinue my trading account.
3. I confirm and agree that the trading account will be used for bona fide transactions not involving any violation of the provisions of any applicable Regulations.
4. I undertake to intimate to KSSBL about my return to India for permanent residency immediately on arrival.
5. I confirm that all Investments & disinvestment in India are covered either by general or special permission of Reserve Bank of India.
6. I understand that as NRI I am not allowed to do any off market transfer of my holding's to a person other than my relative as defined in section 2 (77) of Indian Companies Act, 2013.
7. Any notice/correspondence/contract notes/statement of accounts/statement of securities sent to me at any of the address given in the Know Your Client (KYC) form in the ordinary course of post/courier/fax or on the email ID mentioned in the said KYC form or intimated separately, as the case may be, for the purpose of receiving electronic contract notes shall be deemed to have been received by me.
8. I hereby confirm having understood that KSSBL may decline to comply with any instructions authorized by me if in the KSSBL's opinion; compliance therewith would be illegal or result in a breach of any applicable laws or regulation.
9. I agree and confirm that in the event I desire to withdraw the standing instruction given as aforesaid, I shall serve at least 15 (Fifteen) working days advance written notice on KSSBL. Such revocation shall be effective only on and from the date of expiry of 15 (Fifteen) working days from the date of service of such notice on KSSBL provided that such revocation shall not have any effect on the transactions in securities executed by me before the effective date of such notice of revocation and I agree and undertake that I shall continue to be liable and bound by the transactions and obligations undertaken by me with KSSBL prior to effective date of such revocation and ensure that bank honor all such instructions received from KSSBL on or before the effective date of revocation.
10. I shall carry out all our secondary market transactions only through KSSBL. In case if I register myself as clients with any other Member Broker, we shall keep KSSBL informed about the same.
11. I hereby authorize KSSBL to ask bank the amount lying as balance in PIS account on daily basis for the purpose of their risk management and I confirm having instructed the bank to extend co-operation in this regard and to disclose balance in the PIS bank account to KSSBL whenever required by KSSBL.
12. I hereby agree and confirm to indemnify and save, defend and keep KSSBL harmless and indemnified, at all times from and against all actions, causes, suits, proceedings, claims and demands whatsoever made on the KSSBL by any person and against all costs charges, expenses, damages and sums of money (including legal expenses) incurred, suffered or sustained by KSSBL for any non compliance of applicable act, rules or regulations by me or due to breach of the terms and conditions of my obligations under Rights and Obligations or any other agreement/ document executed by me for availing such services from KSSBL.
13. I further, unconditionally state and declare that I shall comply with all applicable Acts, Rules, Regulations etc. in the country/state/area where I am currently residing as well as all statutory and regulatory provisions enforced in India including but not limited to Foreign Exchange Management Act, 2000, Reserve Bank of India Act, 1934 and Securities and Exchange Board of India Act, 1992 for trading on Exchanges, subscription of shares through Initial Public Offerings, Investment in Mutual Funds registered in India etc.
14. I am aware that as per the RBI guidelines the Non-Resident Indians (NRI's) and Persons of Indian Origin (PIO's) are allowed to invest in the secondary capital markets in India through the portfolio Investment Scheme (PIS). Under this scheme, NRI's/PIO's can acquire shares/debentures of Indian Companies through the stock exchanges in India. These investments are governed and monitored on daily basis by the Reserve Bank of India (RBI). On reaching the aggregate ceiling limit as fixed by RBI from time to time, the RBI advises all designated bank branches to stop purchases on behalf of their NRI/PIO clients. The Reserve Bank also informs the general public about the 'caution' and the 'stop purchase' in these companies through a press release. I hereby acknowledge that I am aware of the RBI guidelines in relation to investments in the secondary market in India. I hereby agree to keep myself abreast of the ceiling limits on investments as published by RBI from time to time and also agree that I shall immediately reverse my transaction, if such transaction breaches the ceiling limits as imposed by RBI. In case I am unable to reverse such transaction immediately, I authorise the member to do so under intimation to the Client.
15. I confirm that the information set out hereinabove is true, complete & accurate & KSSBL shall be informed from time to time of any changes.

Client Signature: X_____

New Tariff / Fees for Depository Services

S. No.	Fee Head	Fees
1	Annual Maintenance (per annum)	Rs. 425/- for individual & HUF Rs. 1000/- for Corporates & Others BSDA Account: BSDA AMC Charges (Holding Value upto Rs. 4 lac) = Nil BSDA AMC Charges (Holding Value 4 Lac to 10 Lac) = 100 Individual (Holding Value More than Rs. 10 Lac) = Regular
2	Transaction - Debit (Market / off-market / interdepository)	For Normal Account 0.02% on transaction value subject to minimum of Rs. 15/- & maximum of Rs. 35/- per transaction For BSDA Account 0.02% on transaction value subject to minimum of Rs. 15/- & maximum of Rs. 35/- per transaction
3	Dematerialisation Request	Rs. 10/- per certificate, plus Rs. 30/- Courier Charges per request or actual which ever is higher
4	Rematerialisation Request	Rs. 25/- per certificate up to 100 securities or part thereof, plus Rs. 30/- Courier Charges per request or actual which ever is higher
5	Pledge - Creation/Closure/Invocation & Confirmation of above	0.05% on transaction value Subject to a min. of Rs. 100/- per instruction
6	Margin Pledge/Repledge/Unpledge	Rs. 20/- per transaction
7	Extra/Lost Dis Book	Rs. 50/- (5 leafs)
8	Extra Holding & Transaction Statement	Rs 15 Per Page (Pluse Courior Charges)
9	Client Master/Information Modification & Additional Client Master	Rs 50 Per Modification (Pluse Courior Charges)
10	Demat Rejection	Rs 50 Per DRF (Pluse Courior Charges)
11	KRA Charges	New KRA Rs 30 , KRA Modification Rs 20 & KRA Fetch Rs 40/- (Pluse Courior Charges)

Note:

1) Kedia Shares (KSSB) reserves the right to revise the tariff structure from time to time, with notice of 30 days. The notice may be given by ordinary Post, Courior , Email or on the website of Kedia Shares (KSSB) & same will be binding on the account holder.
2) Service Tax or Any Other Taxes will be charged Separately as stipulated by Statutory Authorities from time to time.
3) Interest @ 13% P.A. will be levied on bills outstanding beyond 7 days from Due Payable date.
4) Monthly Bill / Charges will be debited to Share Trading Account With KSSBL. Member of BSE , NSE , MCX-SX.
5) Value of transaction will be in accordance with the rates provided by CDSL
6) Same day Execution / Late instruction will be accepted in " a best effort basis" at the sole risk and responsibility of the depository account holder(s). The DP will not be held responsible for non - execution of same day instruction. DP also reserves its rights to charge any additional fees for processing same day execution instruction.
7) Charges / Fees Quoted above are for the service listed . Any service not quoted above will be charged Separately

I/We do hereby agree to the above mentioned charges, terms & conditions.

X	X	X
Sign of 1st Holder / Authorised Signatory	Sign of 2nd Holder / Authorised Signatory	Sign of 3rd Holder / Authorised Signatory

To,
KEDIA SHARES & STOCKS BROKERS LTD.
DP ID: 37100

I/We hereby authorise the following persons to collect my/our Transaction Statements, Instruction slips, all correspondence, Bills for Depository charges, etc. Kindly deliver all my/our above documents to them or the persons being authorised by them. The details about the name, signatures and initials of the said persons is as below.

S. No.	Name	Signature	Initials

X	X	X
Sign of 1st Holder / Authorised Signatory	Sign of 2nd Holder / Authorised Signatory	Sign of 3rd Holder / Authorised Signatory

Date : _____

Annexure-A

Investor Charter for Depositories and Depository Participants

1. **VISION**

   Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

2. **MISSION**

   - To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
   - To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
   - To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

3. **Details of business transacted by the Depository and Depository Participant (DP)**

   A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [link to be provided by Depositories]

4. **Description of services provided by the Depository through Depository Participants DP to investors**

   (1) Basic Services

S.No.	Brief about the Activity/Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion Destatementization	5 days
4.	Re-conversion/Restatementisation of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T day for pay-in of securities. For T+0 day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T day. Note: 'T' refers 'Trade Day'

   (2) Depositories provide special services like pledge, hypothecation, Internet based services etc. in addition to their core services and these include

S.No.	Type of Activity/Service	Brief about the Activity/Service
1.	Value Added Services	Depositories also provide value added services such as a. Basic Services Demat Account (BSDA) [link to be provided by Depositories][1] b. Transposition cum dematerilization [link to be provided by Depositories][2] c. Linkages with Clearing System [link to be provided by Depositories][3] d. Distribution of cash and non-cash corporate benefits (Bonus, Rights IPOs etc.), stock lending, demat of NSC/KVP, demat of warehouse receipts etc.
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions)
3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:

S.No.	Type of Activity/Service	Brief about the Activity/Service
		a. E-account opening: Details available on the link [link to be provided by Depositories][4] b. Online instructions for execution: Details available on the link [link to be provided by Depositories][5] c. e-DIS/Demat Gateway: Details available on the link [link to be provided by Depositories][6] d. e-CAS facility: Details available on the link [link to be provided by Depositories][7] e. Miscellaneous services: Details available on the link [link to be provided by Depositories][8]

5. Details of Grievance Redressal Mechanism

(1) The Process of investor grievance redressal

1.	Investor Complaint/Grievance	Investor can lodge complaint/grievance against the Depository/DP in the following ways: a. Electronic mode - (i) SCORES 2.0 (a web based centralized grievance redressal system of SEBI) [link to be provided by Depositories] Two Level Review for complaint/grievance against DP: - First review done by Designated Body - Second review done by SEBI (ii) Respective Depository's web portal dedicated for the filing of compliant [link to be provided by Depositories] (iii) Emails to designated email IDs of Depository [link to be provided by Depositories] b. Offline mode [details of link to the form to be provided by Depositories] The complaints/ grievances lodged directly with the Depository shall be
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. [SMARTODR link to be provided by Depositories]
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	• Investor to approach Market Participant for redressal of complaint • If investor is not satisfied with response of Market Participant, he/ she can escalate the complaint on SEBI SCORES portal. • Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. • Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days. • If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation. • During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator. • If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. • The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.

6. Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant

S.No.	Type of special circumstances	Timelines for the Activity/Service
1.	• Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges. • Participant surrenders the participation by its own wish.	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

7. Dos and Don'ts for Investors [link to be provided by the Depositories]

S.No.	Guidance
i.	Always deal with a SEBI registered Depository Participant for opening a demat account.
ii.	Read all the documents carefully before signing them.
iii.	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
iv.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
v.	Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips. Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders. Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s). Do not leave your instruction slip book with anyone else. Do not sign blank DIS as it is equivalent to a bearer cheque.
vi.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
vii.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
viii.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
ix.	Do not share password of your online trading and demat account with anyone.
x.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
xi.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
xii.	Demat is mandatory for any transfer of securities of Listed public limited companies.
xiii.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.sebi.gov.in
xiv.	Keep a record of documents signed, DIS issued and account statements received.
xv.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
xvi.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
xvii.	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
xviii.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
xix.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
xx.	Beware of assured/fixed returns.

8. **Rights of investors** [link to be provided by the Depositories]
   i. Receive a copy of KYC, copy of account opening documents.
   ii. No minimum balance is required to be maintained in a demat account.
   iii. No charges are payable for opening of demat accounts.
   iv. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
   v. You can open more than one demat account in the same name with single DP/multiple DPs.
   vi. Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
   vii. Pledge and /or any other interest or encumbrance can be created on demat holdings.
   viii. Right to give standing instructions with regard to the crediting of securities in demat account.
   ix. Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
   x. In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.
   xi. Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
   xii. Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.
   xiii. Right to indemnification for any loss caused due to the negligence of the Depository or the participant.
   xiv. Right to opt out of the Depository system in respect of any security.
9. **Responsibilities of Investors** [link to be provided by the Depositories]
   i. Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
   ii. Provide complete documents for account opening and KYC (Know Your Client).
   Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
   iii. Read all documents and conditions being agreed before signing the account opening form.
   iv. Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
   v. Always mention the details like ISIN, number of securities accurately.
   vi. Inform any change in information linked to demat account and obtain confirmation of updation in the system.
   vii. Regularly verify balances and demat statement and reconcile with trades /transactions.
   viii. Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
   ix. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/securities promising huge profits.
10. **Code of Conduct for Depositories** [link to be provided by the Depositories]
   (Part D of Third Schedule of SEBI (D & P) regulations, 2018)
   A Depository shall:
   (a) always abide by the provisions of the Act, Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
   (b) adopt appropriate due diligence measures.
   (c) take effective measures to ensure implementation of proper risk management framework and good governance practices.
   (d) take appropriate measures towards investor protection and education of investors.
   (e) treat all its applicants/members in a fair and transparent manner.
   (f) promptly inform the Board of violations of the provisions of the Act, the Depositories Act, 1996, rules, regulations, circulars, guidelines or any other directions by any of its issuer or issuer's agent.
   (g) take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of depository's systems and the securities market.
   (h) endeavor for introduction of best business practices amongst itself and its members.
   (i) act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.
   (j) not indulge in unfair competition, which is likely to harm the interests of any other Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
   (k) segregate roles and responsibilities of key management personnel within the depository including
      a. Clearly mapping legal and regulatory duties to the concerned position
      b. Defining delegation of powers to each position
      c. Assigning regulatory, risk management and compliance aspects to business and support teams

c. Assigning regulatory, risk management and compliance aspects to business and support teams

(l) be responsible for the acts or omissions of its employees in respect of the conduct of its business.

(m) monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.

11. Code of Conduct for Participants [link to be provided by the Depositories]

(Part A of Third Schedule of SEBI (D & P) regulations, 2018)

1. A participant shall make all efforts to protect the interests of investors.
2. A participant shall always endeavour to -
   (a) render the best possible advice to the clients having regard to the client's needs and the environments and his own professional skills;
   (b) ensure that all professional dealings are effected in a prompt, effective and efficient manner;
   (c) inquiries from investors are adequately dealt with;
   (d) grievances of investors are redressed without any delay.
3. A participant shall maintain high standards of integrity in all its dealings with its clients and other intermediaries, in the conduct of its business.
4. A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialisation request form, rematerialisation request form and execution of debit instruction slip and in all the other activities undertaken by him on behalf of the beneficial owners.
5. A participant shall endeavour to resolve all the complaints against it or in respect of the activities carried out by it as quickly as possible, and not later than one month of receipt.
6. A participant shall not increase charges/fees for the services rendered without proper advance notice to the beneficial owners.
7. A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.
8. A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capability to render certain services or about its achievements in regard to services rendered to other clients.
9. A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorisation of the clients or when it is required to disclose the information under the requirements of any Act, Rules or Regulations.
10. A participant shall co-operate with the Board as and when required.
11. A participant shall maintain the required level of knowledge and competency and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003.
12. A participant shall not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to the Board.
13. A participant shall not neglect or fail or refuse to submit to the Board or other agencies with which it is registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/ requested from time to time.
14. A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or noncompliance by it, of any law, Rules, regulations, directions of the Board or of any other regulatory body.
15. A participant shall maintain proper inward system for all types of mail received in all forms.
16. A participant shall follow the maker-Checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorised transaction.
17. A participant shall take adequate and necessary steps to ensure that continuity in data and record keeping is maintained and that the data or records are not lost or destroyed. It shall also ensure that for electronic records and data, upto-date back up is always available with it.
18. A participant shall provide adequate freedom and powers to its compliance officer for the effective discharge of his duties.
19. A participant shall ensure that it has satisfactory internal control procedures in place as well as adequate financial and operational capabilities which can be reasonably expected to take care of any losses arising due to theft, fraud and other dishonest acts, professional misconduct or omissions.
20. A participant shall be responsible for the acts or omissions of its employees and agents in respect of the conduct of its business.
21. A participant shall ensure that the senior management, particularly decision makers have access to all relevant information about the business on a timely basis.
22. A participant shall ensure that good corporate policies and corporate governance are in place.

Date:_____

Name : _____

BO-ID :12037100 _____

Address : _____

_____

_____

To,
Kedia Shares & Stocks Brokers Ltd.
B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg,
R. G. Gadkari Chowk, Shivaji Park, Dadar (W), Mumbai - 400028.

Dear Sir/Madam,

Sub: - Confirmation of Receipt of executed documents.

With reference to my/our registration as Client with you for Depositary, I/we hereby confirm that I/we have received copies of the following executed documents:

1. Copy of Know Your Clients Form (KYC) ❑
2. Copy of Rights & Obligations ❑
3. Copy of Demat Debit and Pledge Instructions (DDPI) ❑
4. Copy of Investor Charter for DP ❑
5. All other executed documents ❑

Thanking You,

Yours faithfully,

Signature of Client (1st Sole/Holder) X _____

Name of the Client _____

This Space is Intentionally kept Blank

Kedia Shares & Stocks Brokers Limited

CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED

DP ID: 120 37100 • SEBI Regn. No.: IN-DP-CDSL - 279 - 2004

DEPOSITORY ACCOUNT OPENING FORM

Account No. : 12037100 - 000

Client Name : _____

Internal Ref. No. : _____

Date of Activation : _____

Registered & Correspondence Office:
B-3505, 35th Floor, Central Tower, Kohinoor Square, N. C. Kelkar Marg, R. G. Gadkari Chowk, Shivaji Park,
Dadar (W), Mumbai - 400028. Tel.: 022 46049268 • E-mail: admin@kssbmail.com • Website: kediashares.com