

यूनियन बैंक
ऑफ इंडिया



Union Bank
of India

भारत सरकार का उपक्रम A Government of India Undertaking



UNION BANK OF INDIA DEPOSITORY SERVICES INDIVIDUAL ACCOUNT OPENING FORM



I. Ref Number: _____ Serial Number: _____ Indoc Number: _____

Branch Code and Name: _____

BO Name: _____

D P ID									CLIE NT ID								
--------------	--	--	--	--	--	--	--	--	------------------	--	--	--	--	--	--	--	--

(TO BE FILLED BY UNION BANK)

Instruction for the Applicants/BOs for account opening:-

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th schedule of the Constitution of India. Thumb impression and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
2. Signatures should be preferably in **BLUE INK.**
3. Details of Names, Address, and Tel Number(s) etc., of the Magistrate/Notary Public/Special Executive Magistrate are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the application form.
5. In case of application under Power of Attorney, the relevant Power of Attorney or the certified copy thereof, must be lodged along with the application.
6. All correspondence/queries shall be addressed to the first/sole applicant.
7. Documents to be submitted with account Opening Form:
 - a. Passport size photograph of each account holder.
 - b. Proof of permanent address (any one)- Ration card / Passport /Driving license /Election card / Bank Pass Book/Statement.
 - c. Proof of Correspondence address (any one)- Electricity Bill (not more than 2 month old) / Leave & License Agreement/ Purchase Agreement / Office Address-Certificate from Employer.
8. Strike Off whichever is not applicable.

Union Bank of India

Individual Self Certification for the purposes of section 285BA of the Income-tax Act
(Separate form to be filled up for each customer)

Customer ID :

Section 1: Individual Identification

Identification of Accountholder

Name of the Accountholder :	
Date of Birth :	Place of Birth :
Country of Birth :	Nationality :
Father's Name:	Spouse Name if married:

Mailing address

Number, Building Name, Street, Locality	
City/Town	
State/Province/County	
Post Code	
Country	

Permanent Address:

Number, Building Name, Street, Locality	
City/Town	
State/Province/County	
Post Code	
Country	

Section 2: Declaration of Tax Residency

For the purposes of taxation, I am a resident in the following countries and my Tax Identification Number (TIN)/functional equivalent in each country is set out below or I have indicated that a TIN/functional equivalent is unavailable (kindly fill details of all countries of tax residence if more than one):

Country/ies of Tax Residency	Tax Identification number (TIN)/ Functional Equivalent number)	TIN/Functional Equivalent number Issuing Country	Documentary Evidence enclosed for country of tax residence and TIN

- Documentary evidence to be provided:**
- (1) In case of US Citizenship, US Nationality, and / or unambiguous place of birth in US **BUT** not resident in US for tax purposes, please provide-
 - (a) Copy of a non-U.S. passport or other government-issued identification evidencing your citizenship or nationality in a country other than the United States of America; **AND**
 - (b) Copy of Certificate of Loss of Nationality of the United States of America held by you or a reasonable explanation of:
 - The reason you do not have such a certificate despite relinquishing U.S. citizenship; or
 - The reason you did not obtain U.S. citizenship at birth.

- (2) If tax resident outside India other than US - A certificate of residence issued by an authorized government body, including a government agency or a municipality, of the country or territory in which the payee claims to be a resident; or certified copy of TIN card/statement or functional equivalent.

Section 3: Declaration and Undertakings

The Customer/account holder certifies that:

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

(Signature of the account holder)

Full Name: _____

Place: _____

Date: (DD/MM/YYYY) _____

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

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



Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) the box available before the section number and strike off the sections not required to be updated.

For office use only <small>(To be filled by financial institution)</small>	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update	
KYC Number	<input type="text"/>	(Mandatory for KYC update request)
Account Type*	<input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small	

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>			
Father / Spouse Name*	<input type="text"/>			
Mother Name*	<input type="text"/>			
Date of Birth*	<input type="text"/>			
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/>)			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			
				<div style="border: 1px solid black; padding: 5px; width: 100px; margin: 0 auto;">PHOTO</div> <div style="text-align: center; margin-top: 20px;"> </div>

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

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

Place / City of Birth*

ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

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

<input type="checkbox"/> A- Passport Number	Passport Expiry Date
<input type="checkbox"/> B- Voter ID Card	
<input type="checkbox"/> C- PAN Card	Driving Licence Expiry Date
<input type="checkbox"/> D- Driving Licence	
<input type="checkbox"/> E- UID (Aadhaar)	
<input type="checkbox"/> F- NREGA Job Card	
<input type="checkbox"/> Z- Others (any document notified by the central government)	Identification Number
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	Identification Number

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)
 Voter Identity Card NREGA Job Card Others

Address

Line 1*

Line 2

Line 3

District*

Pin / Post Code*

State / U.T Code*

ISO 3166 CountryCode*

General Instructions:

- 1 Fields marked with '*' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick () in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

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

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z Others (any document notified by the central government)' is ticked.-
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

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

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted. 2 In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

F Clarification / Guidelines on filling 'Contact details' section

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

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

- 1 Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Albania	AL	Algeria	DZ	American Samoa	AS	Andorra	AD
Angola	AO	Anguilla	AI	Antarctica	AQ	Antigua and Barbuda	AG
Argentina	AR	Armenia	AM	Aruba	AW	Australia	AU
Austria	AT	Azerbaijan	AZ	Bahamas	BS	Bahrain	BH
Bangladesh	BD	Barbados	BB	Belarus	BY	Belgium	BE
Belize	BZ	Benin	BJ	Bermuda	BM	Bhutan	BT
Bolivia, Plurinational State of	BO	Bonaire, Sint Eustatius and Saba	BQ	Bosnia and Herzegovina	BA	Botswana	BW
Bouvet Island	BV	Brazil	BR	British Indian Ocean Territory	IO	Brunei Darussalam	BN
Bulgaria	BG	Burkina Faso	BF	Burundi	BI	Cabo Verde	CV
Cambodia	KH	Cameroon	CM	Canada	CA	Cayman Islands	KY
Central African Republic	CF	Chad	TD	Chile	CL	China	CN
Christmas Island	CX	Cocos (Keeling) Islands	CC	Colombia	CO	Comoros	KM
Congo	CG	Congo, the Democratic Republic of the	CD	Cook Islands	CK	Costa Rica	CR
Cote d'Ivoire	CI	Croatia	HR	Cuba	CU	Curacao	CW
Cyprus	CY	Czech Republic	CZ	Denmark	DK	Djibouti	DJ
Dominica	DM	Dominican Republic	DO	Ecuador	EC	Egypt	EG
Ecuador	EC	Egypt	EG	El Salvador	SV	Equatorial Guinea	GQ
Eritrea	ER	Estonia	EE	Ethiopia	ET	Falkland Islands (Malvinas)	FK
Finland	FI	France	FR	French Guiana	GF	French Polynesia	PF
Gabon	GA	Gambia	GM	Georgia	GE	Germany	DE
Ghana	GH	Gibraltar	GI	Greece	GR	Greenland	GL
Guinea	GN	Guinea-Bissau	GW	Guyana	GY	Haiti	HT
Honduras	HN	Hong Kong	HK	Hungary	HU	Iceland	IS
India	IN	Indonesia	ID	Iran, Islamic Republic of	IR	Iraq	IQ
Iran, Islamic Republic of	IR	Ireland	IE	Israel	IL	Italy	IT
Iraq	IQ	Israel	IL	Italy	IT	Jamaica	JM
Israel	IL	Italy	IT	Jamaica	JM	Japan	JP
Italy	IT	Jamaica	JM	Japan	JP	Jersey	JE
Jamaica	JM	Japan	JP	Jersey	JE	Jordan	JO
Japan	JP	Jersey	JE	Jordan	JO	Kazakhstan	KZ
Jersey	JE	Jordan	JO	Kazakhstan	KZ	Kenya	KE
Jordan	JO	Kazakhstan	KZ	Kenya	KE	Kiribati	KI
Kazakhstan	KZ	Kenya	KE	Kiribati	KI	Korea, Democratic People's Republic of	KP
Kenya	KE	Kiribati	KI	Korea, Democratic People's Republic of	KP	Korea, Republic of	KR
Kiribati	KI	Korea, Democratic People's Republic of	KP	Korea, Republic of	KR	Kuwait	KW
Korea, Democratic People's Republic of	KP	Korea, Republic of	KR	Kuwait	KW	Kyrgyzstan	KG
Korea, Republic of	KR	Kuwait	KW	Kyrgyzstan	KG	Lao People's Democratic Republic	LA
Kuwait	KW	Kyrgyzstan	KG	Lao People's Democratic Republic	LA	Latvia	LV
Kyrgyzstan	KG	Lao People's Democratic Republic	LA	Latvia	LV	Lebanon	LB
Lao People's Democratic Republic	LA	Latvia	LV	Lebanon	LB	Lesotho	LS
Latvia	LV	Lebanon	LB	Lesotho	LS	Liberia	LR
Lebanon	LB	Lesotho	LS	Liberia	LR	Lithuania	LT
Lesotho	LS	Lithuania	LT	Lithuania	LT	Luxembourg	LU
Liberia	LR	Luxembourg	LU	Luxembourg	LU	Macau	MO
Lithuania	LT	Macau	MO	Macao	MO	Macedonia, the former Yugoslav Republic of	MK
Luxembourg	LU	Macedonia, the former Yugoslav Republic of	MK	Macedonia, the former Yugoslav Republic of	MK	Madagascar	MG
Macau	MO	Madagascar	MG	Madagascar	MG	Malawi	MW
Macedonia, the former Yugoslav Republic of	MK	Malawi	MW	Malawi	MW	Malaysia	MY
Madagascar	MG	Malaysia	MY	Malaysia	MY	Maldives	MV
Malawi	MW	Maldives	MV	Maldives	MV	Mali	ML
Malaysia	MY	Mali	ML	Mali	ML	Malta	MT
Maldives	MV	Malta	MT	Malta	MT	Marshall Islands	MH
Mali	ML	Marshall Islands	MH	Marshall Islands	MH	Martinique	MQ
Malta	MT	Martinique	MQ	Martinique	MQ	Mauritania	MR
Marshall Islands	MH	Mauritania	MR	Mauritania	MR	Mauritius	MU
Martinique	MQ	Mauritius	MU	Mauritius	MU	Mayotte	YT
Mauritania	MR	Mayotte	YT	Mayotte	YT	Mexico	MX
Mauritius	MU	Mexico	MX	Mexico	MX	Micronesia, Federated States of	FM
Mayotte	YT	Micronesia, Federated States of	FM	Micronesia, Federated States of	FM	Moldova, Republic of	MD
Mexico	MX	Moldova, Republic of	MD	Moldova, Republic of	MD	Monaco	MC
Micronesia, Federated States of	FM	Monaco	MC	Monaco	MC	Mongolia	MN
Moldova, Republic of	MD	Mongolia	MN	Mongolia	MN	Montenegro	ME
Monaco	MC	Montenegro	ME	Montenegro	ME	Montserrat	MS
Mongolia	MN	Montserrat	MS	Montserrat	MS	Morocco	MA
Montenegro	ME	Morocco	MA	Morocco	MA	Mozambique	MZ
Montserrat	MS	Mozambique	MZ	Mozambique	MZ	Myanmar	MM
Morocco	MA	Myanmar	MM	Myanmar	MM	Namibia	NA
Mozambique	MZ	Namibia	NA	Namibia	NA	Nauru	NR
Myanmar	MM	Nauru	NR	Nauru	NR	Nepal	NP
Namibia	NA	Nepal	NP	Nepal	NP	Netherlands	NL
Nauru	NR	Netherlands	NL	Netherlands	NL	New Caledonia	NC
Nepal	NP	New Caledonia	NC	New Caledonia	NC	New Zealand	NZ
Netherlands	NL	New Zealand	NZ	New Zealand	NZ	Nicaragua	NI
New Caledonia	NC	Nicaragua	NI	Nicaragua	NI	Niger	NE
New Zealand	NZ	Niger	NE	Niger	NE	Nigeria	NG
Nicaragua	NI	Nigeria	NG	Nigeria	NG	Niue	NU
Niger	NE	Niue	NU	Niue	NU	Norfolk Island	NF
Nigeria	NG	Norfolk Island	NF	Norfolk Island	NF	Northern Mariana Islands	MP
Niue	NU	Northern Mariana Islands	MP	Northern Mariana Islands	MP	Norway	NO
Norfolk Island	NF	Norway	NO	Norway	NO	Oman	OM
Northern Mariana Islands	MP	Oman	OM	Oman	OM	Pakistan	PK
Norway	NO	Pakistan	PK	Pakistan	PK	Palau	PW
Oman	OM	Palau	PW	Palau	PW	Palestine, State of	PS
Pakistan	PK	Palestine, State of	PS	Palestine, State of	PS	Panama	PA
Palau	PW	Panama	PA	Panama	PA	Papua New Guinea	PG
Palestine, State of	PS	Papua New Guinea	PG	Papua New Guinea	PG	Paraguay	PY
Panama	PA	Paraguay	PY	Paraguay	PY	Peru	PE
Papua New Guinea	PG	Peru	PE	Peru	PE	Philippines	PH
Paraguay	PY	Philippines	PH	Philippines	PH	Pitcairn	PN
Peru	PE	Pitcairn	PN	Pitcairn	PN	Poland	PL
Philippines	PH	Poland	PL	Poland	PL	Portugal	PT
Pitcairn	PN	Portugal	PT	Portugal	PT	Puerto Rico	PR
Poland	PL	Puerto Rico	PR	Puerto Rico	PR	Qatar	QA
Portugal	PT	Qatar	QA	Qatar	QA	Reunion	RE
Puerto Rico	PR	Reunion	RE	Reunion	RE	Romania	RO
Qatar	QA	Romania	RO	Romania	RO	Russian Federation	RU
Reunion	RE	Russian Federation	RU	Russian Federation	RU	Rwanda	RW
Romania	RO	Rwanda	RW	Rwanda	RW	Saint Barthelemy	BL
Russian Federation	RU	Saint Barthelemy	BL	Saint Barthelemy	BL	Saint Helena, Ascension and Tristan da Cunha	SH
Rwanda	RW	Saint Helena, Ascension and Tristan da Cunha	SH	Saint Helena, Ascension and Tristan da Cunha	SH	Saint Kitts and Nevis	KN
Saint Barthelemy	BL	Saint Kitts and Nevis	KN	Saint Kitts and Nevis	KN	Saint Lucia	LC
Saint Helena, Ascension and Tristan da Cunha	SH	Saint Lucia	LC	Saint Lucia	LC	Saint Martin (French part)	MF
Saint Kitts and Nevis	KN	Saint Martin (French part)	MF	Saint Martin (French part)	MF	Samoa	WS
Saint Lucia	LC	Samoa	WS	Samoa	WS	San Marino	SM
Saint Martin (French part)	MF	San Marino	SM	San Marino	SM	Sao Tome and Principe	ST
Samoa	WS	Sao Tome and Principe	ST	Sao Tome and Principe	ST	Saudi Arabia	SA
San Marino	SM	Saudi Arabia	SA	Saudi Arabia	SA	Senegal	SN
Sao Tome and Principe	ST	Senegal	SN	Senegal	SN	Serbia	RS
Saudi Arabia	SA	Serbia	RS	Serbia	RS	Seychelles	SC
Senegal	SN	Seychelles	SC	Seychelles	SC	Sierra Leone	SL
Serbia	RS	Sierra Leone	SL	Sierra Leone	SL	Singapore	SG
Seychelles	SC	Singapore	SG	Singapore	SG	Sint Maarten (Dutch part)	SX
Sierra Leone	SL	Sint Maarten (Dutch part)	SX	Sint Maarten (Dutch part)	SX	Slovakia	SK
Singapore	SG	Slovakia	SK	Slovakia	SK	Slovenia	SI
Sint Maarten (Dutch part)	SX	Slovenia	SI	Slovenia	SI	Solomon Islands	SB
Slovakia	SK	Solomon Islands	SB	Solomon Islands	SB	Somalia	SO
Slovenia	SI	Somalia	SO	Somalia	SO	South Africa	ZA
Solomon Islands	SB	South Africa	ZA	South Africa	ZA	South Georgia and the South Sandwich Islands	GS
Somalia	SO	South Georgia and the South Sandwich Islands	GS	South Georgia and the South Sandwich Islands	GS	South Sudan	SS
South Africa	ZA	South Sudan	SS	South Sudan	SS	Spain	ES
South Georgia and the South Sandwich Islands	GS	Spain	ES	Spain	ES	Sri Lanka	LK
South Sudan	SS	Sri Lanka	LK	Sri Lanka	LK	Sudan	SD
Spain	ES	Sudan	SD	Sudan	SD	Suriname	SR
Sri Lanka	LK	Suriname	SR	Suriname	SR	Svalbard and Jan Mayen	SJ
Sudan	SD	Svalbard and Jan Mayen	SJ	Svalbard and Jan Mayen	SJ	Swaziland	SZ
Suriname	SR	Swaziland	SZ	Swaziland	SZ	Sweden	SE
Svalbard and Jan Mayen	SJ	Sweden	SE	Sweden	SE	Switzerland	CH
Swaziland	SZ	Switzerland	CH	Switzerland	CH	Syrian Arab Republic	SY
Sweden	SE	Syrian Arab Republic	SY	Syrian Arab Republic	SY	Taiwan, Province of China	TW
Switzerland	CH	Taiwan, Province of China	TW	Taiwan, Province of China	TW	Tajikistan	TJ
Syrian Arab Republic	SY	Tajikistan	TJ	Tajikistan	TJ	Tanzania, United Republic of	TZ
Taiwan, Province of China	TW	Tanzania, United Republic of	TZ	Tanzania, United Republic of	TZ	Thailand	TH
Tajikistan	TJ	Thailand	TH	Thailand	TH	Timor-Leste	TL
Tanzania, United Republic of	TZ	Timor-Leste	TL	Timor-Leste	TL	Togo	TG
Thailand	TH	Togo	TG	Togo	TG	Tokelau	TK
Timor-Leste	TL	Tokelau	TK	Tokelau	TK	Tonga	TO
Togo	TG	Tonga	TO	Tonga	TO	Trinidad and Tobago	TT
Tokelau	TK	Trinidad and Tobago	TT	Trinidad and Tobago	TT	Tunisia	TN
Tonga	TO	Tunisia	TN	Tunisia	TN	Turkey	TR
Trinidad and Tobago	TT	Turkey	TR	Turkey	TR	Turkmenistan	TM
Tunisia	TN	Turkmenistan	TM	Turkmenistan	TM	Turks and Caicos Islands	TC
Turkey	TR	Turks and Caicos Islands	TC	Turks and Caicos Islands	TC	Tuvalu	TV
Turkmenistan	TM	Tuvalu	TV	Tuvalu	TV	Uganda	UG
Turks and Caicos Islands	TC	Uganda	UG	Uganda	UG	Ukraine	UA
Tuvalu	TV	Ukraine	UA	Ukraine	UA	United Arab Emirates	AE
Turks and Caicos Islands	TC	United Arab Emirates	AE	United Arab Emirates	AE	United Kingdom	GB
Tuvalu	TV	United Kingdom	GB	United Kingdom	GB	United States	US
Uganda	UG	United States	US	United States	US	United States Minor Outlying Islands	UM
Ukraine	UA	United States Minor Outlying Islands	UM	United States Minor Outlying Islands	UM	Uruguay	UY
United Arab Emirates	AE	Uruguay	UY	Uruguay	UY	Uzbekistan	UZ
United Kingdom	GB	Uzbekistan	UZ	Uzbekistan	UZ	Vanuatu	VU
United States	US	Vanuatu	VU	Vanuatu	VU	Venezuela, Bolivarian Republic of	VE
United States Minor Outlying Islands	UM	Venezuela, Bolivarian Republic of	VE	Venezuela, Bolivarian Republic of	VE	Viet Nam	VN
Uruguay	UY	Viet Nam	VN	Viet Nam	VN	Virgin Islands, British	VG
Uzbekistan	UZ	Virgin Islands, British	VG	Virgin Islands, British	VG	Virgin Islands, U.S.	VI
Vanuatu	VU	Virgin Islands, U.S.	VI	Virgin Islands, U.S.	VI	Wallis and Futuna	WF
Venezuela, Bolivarian Republic of	VE	Wallis and Futuna	WF	Wallis and Futuna	WF	Western Sahara	EH
Viet Nam	VN	Western Sahara	EH	Western Sahara	EH	Yemen	YE
Virgin Islands, British	VG	Yemen	YE	Yemen	YE	Zambia	ZM
Virgin Islands, U.S.	VI	Zambia	ZM	Zambia	ZM	Zimbabwe	ZW
Wallis and Futuna	WF	Zimbabwe	ZW	Zimbabwe	ZW		
Western Sahara	EH						
Yemen	YE						

Additional KYC Form for Opening a Demat Account

For Individuals 5

Depository Participant Name/Address

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID		Client ID								

(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 following details:-

Holders Details

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

Name *	_____
---------------	-------

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

Type of Account (Please tick whichever is applicable)

Status	Sub - Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify)_____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> 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 (If not marked, the default option would be 'Yes')	[Automatic Credit]		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')			<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
I / We request you to send Electronic Transaction-cum-Holding Statement at the _____ email ID			<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA			<input type="checkbox"/> Yes <input type="checkbox"/> 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]	<input type="checkbox"/> Yes <input type="checkbox"/> No
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)	_____
IFS Code (11 character)	_____
Account number	_____
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)_____
Bank Name	_____
Branch Name	_____
Bank Branch Address	_____
City	_____
State	_____
Country	_____
PIN code	_____

BO(s) SIGNATURE _____

- (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.

Other Details Gross Annual Income Details	Income Range per annum: <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to ₹10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000									
	Net worth as on (Date)	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td><td>RS</td> </tr> </table> <p><i>[Net worth should not be older than 1 year]</i></p>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y	RS		
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____									
Please tick , if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)									
Any other information:										

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).										
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)							
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
<i>Easi</i>	To register for ^e <i>Easi</i> , please visit our website www.cdslindia.com . ^e <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.										

Nomination Details:

I / We the Sole Holder / Joint Holder / Guardian (in case of minor) hereby declare that:

I / We **do not wish to nominate any one for this DEMAT account.**

I / We **nominate** the following persons who is/are entitled to receive security balances lying in my / our account.

BO(s) SIGNATURE _____

Nomination Details	Nominee1	Nominee 2	Nominee 3
Nominee Name			
*First Name:	_____	_____	_____
Middle Name:	_____	_____	_____
*Last Name:	_____	_____	_____
Nomination Details	Nominee 1	Nominee 2	Nominee 3
*Address			
*City			
*State			
*Pin			
*Country			
Telephone No.			
Fax No.			
PAN No.			
UID			
Email ID			
*Relationship with the BO:			
Date of Birth (mandatory if Nominee is Minor) dd-mm-yyyy			
Name of the Guardian of Nominee(if Nominee is a minor)			
*First Name:	_____	_____	_____
Middle Name:	_____	_____	_____
*Last Name:	_____	_____	_____
Address of the Guardian of Nominee:			
*City			
*State			
*Country			
*Pin			
Age			
Telephone			
Email ID			
Fax No.			
*Relationship of Guardian with the nominee			
*Percentage of allocation of securities			
*Residual Securities			
[please tick any one nominee, if tick not marked the default will be first nominee]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note: Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such Nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

*** Marked is Mandatory field**

Classification:

BO(s) SIGNATURE _____

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Note: One witness shall attest signature(s) / thumb impression(s).

Details of Witness	
	First Witness
Name of witness	
Address of witness	
Signature of witness	

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 or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature			
<i>(Signatures should be preferably in blue ink).</i>			

Branch Seal and Signature

BO(s) SIGNATURE _____

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]

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.

BO(s) SIGNATURE _____

Classification:

Declaration for availing of Basic Services Demat Account (BSDA) facility

To,

Depository Participant Name
Address

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

DP ID

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

Client ID

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

	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.

	Signature
Sole/First Holder	
Second Holder	
Third Holder	

======(Please Tear here)=====

Acknowledgement Receipt

Received BSDA declaration form from:

DP ID	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>											Client ID
Name												
Address												

Date :

Depository Participant Seal and Signature

(Perforated Card)

DP ID	1	3	0	2	5	9	0	0	Client ID								
First/Sole Holder									Second Holder				Third Holder				
Name																	
Specimen Signature																	

Branch Seal and Signature

Rights and Obligations of the Beneficial Owner and Depository Participant

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

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

Statement of account

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

BO SIGNATURE			
---------------------	--	--	--

Manner of Closure of Demat account

- 17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
- 18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

- 19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
- 20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

- 21. As per Section 16 of Depositories Act, 1996,
 - 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 - 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

- 22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
- 23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

- 26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
- 27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
- 28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
- 29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI.
- 30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
- 31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or 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.

BO SIGNATURE			
---------------------	--	--	--

Schedule Of Charges

Sr No	Charges		Revised Charges No Trading A/c	Revised Charges with trading A/c
1	Demat Account opening charges		Free	Free
2	Demat Closure Charges		Free	Free
3	Account Manintenance Charges	Individual	Free for the first year	Free for the first year
			300+ GST from 2nd year onwards	250 + GST from 2nd year onwards
		Non-Individual	Free for the first year	Free for the first year
			1000+GST from 2nd year onwards for HUF	1000+GST from 2nd year onwards for HUF
		1500+GST from 2nd year onwards for Corporates	1500+GST from 2nd year onwards for Corporates	
4	Custody Charges		Nil	Nil
5	Transaction Charges	Buy Charges	Nil	Nil
		Sell Charges	Individual and HUF: 0.04% of the transaction value Subject to Minimum of Rs. 30/- and Maximum of Rs.1200/- per ISIN debit instruction (Charges of Rs.10/- per ISIN for late submission). 0.02% in case of Speed-e/ easiest with minimum of Rs. 30 and maximum of Rs. 1200/-. Corporate: 0.04% of the transaction value Subject to Minimum of Rs. 30/- and Maximum of Rs.1500/- per ISIN debit instruction (Charges of Rs.10/- per ISIN for late submission). 0.02% in case of Speed-e/ easiest with minimum of Rs. 50/- and maximum of Rs. 1500/-.	Individual and HUF: 0.04% of the transaction value Subject to Minimum of Rs. 30/- and Maximum of Rs.1200/- per ISIN debit instruction (Charges of Rs.10/- per ISIN for late submission). 0.02% in case of Speed-e/ easiest with minimum of Rs. 30 and maximum of Rs. 1200/-. Corporate: 0.04% of the transaction value Subject to Minimum of Rs.1500/- per ISIN debit instruction (Charges of Rs.10/- per ISIN for late submission). 0.02% in case of Speed-e/ easiest with minimum of Rs. 50/- and maximum of Rs. 1500/-.
6	Commercial Paper /CD/MIBOR linked paper Purchase/Sale		Rs.500 per transaction	Rs.500 per transaction
7	Debt Instrument Sale		Rs.500 per transaction	Rs.500 per transaction

Signature of Client	First Holder	Second Holder	Third Holder

8	Dematerialization	Rs.5/- per certificate (Minimum Rs.100/- per DRF)including postage charges & other out of pocket expenses.	Rs.5/- per certificate (Minimum Rs.100/- per DRF)including postage charges & other out of pocket expenses.
9	Rematerialization	Rs.25.00 per 100 shares or part thereof. Min Rs.100.00 per request per ISIN including postage charges & other out of pocket expenses	Rs.25.00 per 100 shares or part thereof. Min Rs.100.00 per request per ISIN including postage charges & other out of pocket expenses
10	Pledging	Creation/Create Confirmation of pledge/Invocation of pledge	0.02% of transaction value or Min Rs 100/- and Max Rs.2000. Monthly Rs. 25000/ Month with unlimited pledging.
		Closure of Pledge	0.01% of value. Min of Rs.100/- per transaction per ISIN Max of Rs.1000 to pledge Monthly Rs. 12500/ Month with unlimited pledging.
		Margin Pledge	0.01% of transaction value or Min Rs 100/- and Max Rs.2000. Monthly Rs. 12500/ Month with unlimited pledging.
11	Transaction Statement	Monthly free, if transaction is there	Monthly free, if transaction is there
12	Holding Statement	Half yearly Free	Half yearly Free
13	Additional Statement	By Post -Min. Rs.50/- per instance up to 2 pages and additional Rs.10 per pages including postal charges. By Email - Nil	By Post -Min. Rs.50/- per instance up to 2 pages and additional Rs.10 per pages including postal charges. By Email - Nil
14	Freezing/Unfreezing	Rs.25 per transaction	Rs.25 per transaction
15	Failed Debit Transaction	Rs.50 per transaction	Rs.50 per transaction
16	Deliver Instruction Slip	Rs.100 per DIS book including postal charges ;First DIS book will be provided free	Rs.100 per DIS book including postal charges ;First DIS book will be provided free
17	Other Chrges	Demat request rejection Rs.50/- per rejection + postal charges	Demat request rejection Rs.50/- per rejection + postal charges
18	NDU Charges	a. 0.01% of transaction value or Min Rs 25/- whichever is higher plus NSDL charges as applicable	a. 0.01% of transaction value or Min Rs 25/- whichever is higher plus NSDL charges as applicable

Signature of Client	First Holder	Second Holder	Third Holder

===== (Please Tear Here) =====

(To be filled by Depository Participant)

Acknowledgement Receipt

Application No.:

Date:

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of the Second Holder	
Name of the Third Holder	

Depository Participant Seal and Signature

===== (Please Tear Here) =====

Acknowledgement Receipt

Received nomination form from:

DP ID	1	3	0	2	5	9	0	0	Client ID									
Name																		
Address																		
Nomination in favor of		1. <input type="checkbox"/> 2. 3.																
<u>No Nomination</u>		<u>Does not wish to nominate</u>																
<u>Registration No. (For Nominee 1)</u>										Registered on								
<u>Registration No. (For Nominee 2)</u>										Registered on								
<u>Registration No. (For Nominee 3)</u>										Registered on								

Depository Participant Seal and Signature