

Easy Funds

- ▶ Same day payouts with Encash feature
- ▶ Margin Trading Facility Upto 4x margin for 180 days



Extensive Products Range

- ▶ Equity, Derivatives, Commodity, Currency, Mutual Funds
- ▶ IPO, NCD, ETF, SGB, etc.
- ▶ Stock Lending & Borrowing Mechanism (SLBM)



INVESTMENT ACCOUNT

A one stop shop for all your investment requirements

Innovative Investment Solutions

Global Investing

Direct investment in US Stocks & ETFs

Model Portfolios

Build a Strong Portfolio

Thematic Portfolios

Invest in Ideas

DigiGold

The Right Way to Invest in Gold



Convenience

- ▶ Multiple Trading Platforms
- ▶ Award Winning Advisory Team
- ▶ Dedicated Relationship Manager with Call & Trade Facility
- ▶ Advanced Portfolio Tracker with Up-to-date corporate actions

Application Form (Please tick relevant boxes): 2 in 1 form (Trading + DP) 1 in 1 form (only Trading) Standalone DP

LG Code LC Code Source Code

Branch Inward Stamp &
Authorised Signatory with
Stamp

CPU Inward Stamp &
Authorised Signatory with
Stamp

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Name of the document	Brief Significance of the document	Section	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	PART A	3
	B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list. (PART II)	PART A	7
	C. Additional details required for operating DP account	PART A	5
Rights and Obligations (Trading)	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges(including additional rights & obligations in case of internet / wireless technology based trading).	PART B	1
Rights and Obligations (Demat)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	PART A	15
Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	7
Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	PART B	11
Policies and Procedures	Document describing significant policies and procedures of the stockbroker	PART B	14
Tariff sheet (Trading)	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	PART B	19
Tariff Sheet (Demat)	Document detailing the standard demat charges and Basic Services Demat a/c (BSDA) charges(if opted)	PART A	6 & 16
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
Power of Attorney	Document required for linkage of Bank and demat account for experience of seamless trading in securities / order placement	PART A	11
Additional Non mandatory Rights & Obligations	Confirmation of Additional Rights and Obligations for seamless trading experience	PART A	2
Running Account Authorisation	Authorisation from client on maintenance of the funds / securities balances on running basis	PART A	2
Other Consent	Consent for Margin Trading facility and to receive commercial call and/or sms	PART A	2

Registered Office Address: I Think Techno Campus, Building - B, "Alpha", Office Floor 8, Kanjurmarg (East), Mumbai - 400042.

Ph.: (022) 3075 3400 Fax : (022) 3075 3435 Website: www.hdfcsec.com (CIN - U67120MH2000PLC152193)

Correspondence Office Address: 6th floor, Part A, Corporate Center, J.B Nagar (Chakala), Andheri (E), Mumbai - 400059.

Ph.: (022) 3901 9400 Fax : (022) 2834 6690.

Compliance Officer Name, Phone No. & Email ID: Mr. Murl V Karkera, (022) 3045 3600, complianceofficer@hdfcsec.com

CEO/M.D. Name, Phone No. & Email ID: Mr. Dhiraj Relli, (022) 6741 9951, md@hdfcsec.com

"Fields marked in Red are mandatory." "Form to be filled in Capital Letters only." "Strike off whichever is not applicable." "Fill this form in English."

Office use only Application Type New Update **A/c Type** Normal Small Simplified (for low risk customers)

Personal Details

Prefix Mr. Ms. Others

Applicant Name (Same as per ID Proof)
 FIRST NAME MIDDLE NAME SURNAME

Gender Male Female Transgender **Marital Status** Single Married

Residential Status Resident Individual NRI Foreign National

Nationality Indian Other, please specify _____

Date of Birth D D M M Y Y Y Y

PAN (Mandatory) _____

Proof of identity PAN Any other (Please specify) _____ **Expiry date** D D M M Y Y Y Y

Mother's Name Ms. FIRST NAME MIDDLE NAME SURNAME

Spouse's Name Mr. / Mrs. / Ms. FIRST NAME MIDDLE NAME SURNAME

Father's Name Mr. FIRST NAME MIDDLE NAME SURNAME

S5 Signature across photograph

Applicant's latest passport size photo

Present / Mailing Address

Proof of Address (Specify) _____ **Expiry Date** D D M M Y Y Y Y

Residence/ Correspondence Address

Landmark (Mandatory) _____

City _____ **State** _____

District _____ **Country** _____

PIN Code _____

Please mention a prominent landmark to ensure that the deliverables reach you

Address Type Residence Business Residential and Business Registered Office Unspecified

Permanent Address

Permanent Address same as Present Address

Permanent Address _____

Landmark (Mandatory) _____

City _____ **State** _____

District _____ **Country** _____

PIN Code _____

Residing at current residence since Y Y M M

Please mention a prominent landmark to ensure that the deliverables reach you

Mandatory to be filled if different from above

Mandatory for Non Resident Applicant to specify overseas address

Contact Details

Separate email ID & mobile number declaration - I hereby declare that the below

Mobile number belongs to Self Spouse Dependent Parent Dependent Children

Tel (R) + STD NUMBER Mobile No. + NUMBER

Tel (O) + STD NUMBER - EXT N Fax STD - NUMBER

Email ID belongs to Self Spouse Dependent Parent Dependent Children

E-mail ID _____

Mode of receiving statement of accounts & annual reports Electronic Physical **Share my email ID with the RTA** Yes No

APPLICANT'S SIGNATURE

I hereby declare that the details furnished in this form are true and correct to the best of my/our knowledge and belief and I understand to inform you of any changes therein immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I/We am /are aware that I/We may be held liable for it. My personal/KYC details may be shared with Central KYC Registry / FATCA. I hereby consent to receive information from Central KYC registry through SMS/email on the above Registered number / email address. I am aware that my / our trading / DP account will be opened as per name available in Income Tax database

Signature of the applicant

S6

D D M M Y Y Y Y Place _____

Do not sign this form if it is BLANK. Please ensure all relevant sections and columns are completely filled to your satisfaction and then only sign the form

FOR OFFICE USE ONLY

(Originals verified) and Self -Attested Document copies received

In-Person-Verification (IPV) details:

Name of the Person doing IPV _____

Signature of the Person doing IPV _____

Designation & Emp. code _____

Branch code _____

D D M M Y Y Y Y

Name of the organisation: HDFC Securities Ltd.

Name and Signature of Authorised Signatory _____



Other Details

*Gross annual income (₹) (Income range per annum) Below Rs. 1 lac Rs. 1 lac to 5 lacs Rs. 5 lacs to 10 lacs Rs. 10 lacs to 25 lacs More than Rs. 25 lacs

OR Net worth (₹) _____ as on date DDMMYYYY Net worth should not be older than one year

Occupation details (please tick any one below and give brief details)

Public Sector Private Sector Government Service Employer Name _____

Business Professional Agriculturist Retired Student Housewife Designation _____

Others (please specify) _____

Brief Details _____ Please tick, if applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

FATCA Details

Are you a tax resident of any country other than India ? No Yes, then please fill below

City of Birth _____ Country of Birth _____

Address for Tax purpose (please tick) Same as Mailing Address Same as permanent Address

Country/(ies) of Tax Residency #	Tax Identification Number (TIN)%	Nationality / Citizenship	Identification Type (TIN or Other%, please specify)
1.			
2.			
3.			
4.			
5.			

To also include USA , where the individual is a citizen /green card holder of USA % In case Tax Identification Number is not available , kindly provide functional equivalent

FATCA/ CRS Indicia observed (ticked)		Documentation required for Cure of FATCA/ CRS indicia
		<i>If customer does not agree to be Specified U.S. person/ reportable person status</i>
1	U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: a. Certified Copy of "Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
2	Residence/ mailing address in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)
3	Telephone number in a country other than India (and no telephone number in India provided)	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)
4	Standing instructions to transfer funds to an account maintained in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)

Certification:
I/We have understood the information requirements of this Form as per the CBDT notified Rules 114F to 114H and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the Terms and Conditions below and hereby accept the same. I/We understand that my personal details as provided/available in the bank/securities records will be used for CBDT reporting. Further, I/We hereby authorize HDFC Securities Limited to furnish the above information to HDFC Bank Limited for the purpose of compliance and reporting under CBDT Rules as applicable.

Details under FATCA/Foreign Tax Laws:
Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s). If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with different members of the HDFC Group. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

- List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:
1. Certificate of residence issued by an authorized government body*
 2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)
- * Government or agency thereof or a municipality

The appended Tariff will be applicable for the customer opting for the Regular / Basic Services Demat Account

Annexure - Regular / Basic Services Demat Account (BSDA)

Sr. No.	Fee Head	Type	<input type="checkbox"/> I wish to open a Regular Demat Account	<input checked="" type="checkbox"/> I wish to open Basic Services Demat Account (BSDA)		
			Regular Demat Account		Basic Services Demat Account (BSDA)	
			Fees		Fees	
1	Account opening		Nil			
2	AMC		Rs. 750/- p.a. (Free for first year.)	Holding Value between 0 to 4,00,000 - NIL AMC Holding Value between 4,00,001 to 10 Lacs - Rs. 100 p.a		
3	Dematerialization	Certificate + Dematerialisation request	Rs. 5/- per certificate + Rs. 35/- per request or min. Rs.40/-	Rs. 5/- per certificate + Rs. 35/- per request or min. Rs.40/-		
4	Rematerialization	Rematerialisation Request	Rs 30/-per request +NSDL /CDSL actuals, Currently A)Rs 10/- for every hundred securities or part thereof or B) a Flat fee of Rs 10/- per certificate whichever is higher (Min Rs. 40/- and Max Rs. 5 lacs)	Rs 30/-per request +NSDL /CDSL actuals, Currently A)Rs 10/- for every hundred securities or part thereof or B) a Flat fee of Rs 10/- per certificate whichever is higher (Min Rs. 40/- and Max Rs. 5 lacs)		
5	Debit transaction charges (Equity/Equity MF) (Market/Off - Market)	On Market	0.04% of the value of txn or Rs. 20/- whichever is higher			
		Off Market	0.04% of the value of txn or Rs. 20/- whichever is higher			
6	Debit transaction charges (Debt/Debt MF) (Market/Off - Market)	On Market	0.04% of the value of txn or Rs. 20/- whichever is higher (Max Rs. 5000)			
		Off Market	0.04% of the value of txn or Rs. 20/- whichever is higher (Max Rs. 5000)			
7	Credit Transaction		NIL			
8	Pledge Services (Creation / Invocation / Closure)		0.04% or Rs. 40/- whichever is higher for normal and CUSPA pledge Margin Pledge in Favor of HDFC Securities Limited - Rs. 10/- per transaction Margin Funding Pledge in Favor of HDFC Securities Limited - Rs. 20/- per transaction			
9	Courier charges per Demat/Remat request	Inland Address	Rs. 35/- per request			
		Foreign Address	Rs. 500/- per request			
10	Delivery Instruction Booklet		Rs. 75/- per booklet (5 leaves)			

PLEASE NOTE : In case you demat account is not eligible for Basic Services Demat Account (BSDA) by CDSL then DP charges for regular demat account will be levied.

Terms & Conditions:

- Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
- Customers who have a banking relationship with HDFC Bank to provide a debit authorisation/POA for the recovery of service charges.
- The above charges are exclusive of applicable GST and other taxes / statutory charges levied by Government bodies / statutory authorities from time to time, which will be charged as applicable.
- All charges / service standards are subject to revision at the HSL sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days and would be made available on my/our website
- *** The Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. (For more details, kindly refer our website www.hdfcsec.com)
- To evaluate the eligibility for Basic Services Demat Accounts (BSDA), the value of holdings will be determined on a daily basis, as per the file sent by the NSDL / CDSL The AMC will be calculated at the pro-rata basis based on the value of holding of securities in the account.
- In case of BSDA, such accounts would be levied AMC applicable basis the value of holdings exceeding the prescribed limit immediately from the next day of exceeding such limit.
- In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard program Demat accounts without further reference to the respective customers and will be levied standard Program pricing.
- In case if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
- The value of the transaction will be in accordance with rates provided by Depositories (NSDL / CDSL)
- The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- The operating instructions for the joint accounts must be signed by all the holders.
- All instructions for transfer must be received at the designated DP servicing branches of the HSL at least 24 hours before the execution date.
- In case of non-recovery of service charges due to inadequate balance in your linked bank account or inadequate advance fees or invalid bank account, the Depository services for your account will be temporarily discontinued. The services will be resumed in a minimum of three working days from the date of receipt of request with HSL and post payment of all outstanding dues towards Depository charges.
- In case the Demat accounts are with nil balances / transactions or in case if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of 1 year. However the electronic statement of holding will be sent only to the customers whose email IDs are registered for e-statement.
- The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence despatch of physical statements will be discontinued.
- I hereby provide my consent to share my personal information details with empanelled distribution partners of HDFC Securities limited for the purpose of product sales and promotion or any other services that are related to HDFC Securities Ltd

S7

X Signature of 1st Holder

S7

X Signature of 2nd Holder

S7

X Signature of 3rd Holder

BANK AND DEPOSITORY ACCOUNTS DETAILS:

Bank Name: HDFC Bank A/C Other Bank Name _____

Bank A/C No. _____ Account Type: Savings Current

IFSC Code _____ MICR Number: _____

Branch Address _____ Branch Code _____

DP Name _____ Customer ID _____

Client ID (BO ID) _____ DP ID: I N _____

Client ID (BO ID) _____ Depository Name (tick one) NSDL CDSL

TRADING PREFERENCES:

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

Exchanges Segments	NSE	BSE	MCX
Cash Market/Mutual Fund	S8 X Signature of Client	S9 X Signature of Client	NA
Futures & Options	S10 X Signature of Client	NA	NA
Currency Derivatives	S11 X Signature of Client	NA	NA
Commodity Derivatives	NA	NA	S12 X Signature of Client

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

RISK DISCLOSURES ON DERIVATIVES

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to Rs 50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source: 1. SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment", wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

If in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker, Please specify the proof submitted to avail the privileges to trade in derivatives segment: (Please refer last page of this application form) _____

PAST ACTION: Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: No If yes, please specify: _____

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS: Not dealing, If yes, please mention details below:

Sub-Broker's Name: _____ SEBI Registration number: _____

R. O. Address: _____ Phone: _____ Fax: _____ Website: _____

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker: _____ Name of Sub-Broker, if any: _____

Client Code: _____ Exchange: _____

Details of disputes/dues pending from/to such stock broker/sub-broker: _____

ADDITIONAL DETAILS: I/we wish to receive Electronic Contract Note (ECN) **OR** Physical contract note (PCN)

E-mail ID for ECN _____

 I wish to avail of the facility of internet trading/ wireless technology: Yes If No, Please Specify: _____

 Number of years of Investment/Trading Experience: No prior Experience Y Y Stock Y Y Derivatives

 Y Y Other investment related field Any other information: _____

INTRODUCER DETAILS (Optional)

Name:

Status: Remisier Authorized Person Existing Clients Others, Please specify _____

Address:

Phone:

I1
X Signature of Introducer

Declarations, Terms & Conditions & Notes

A. Declaration: I/We am/are beneficial owner(s) (or an authorized to sign for the beneficial owner) of all the income to which this form relates,

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/We have understood the same and I/We agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. In case of non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulations. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker, Depository Participants and the tariff sheet.

B. CBDT Terms and Conditions

The Central Board of Direct Taxes (CBDT) has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as HSL to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with HDFC securities or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

C. Debit Authorisation: I/We hereby authorize the HSL to debit all types of Bank charges / commission / fees ("Service Charges") payable by me / us to the linked Accounts. I/We undertake that sufficient balances shall be maintained by me/us in the said Accounts to facilitate the debiting of Service Charges. The failure on part of me / us to maintain sufficient balance in the said Account shall not in any way impair the right of the HSL to debit the Service Charges. I/We hereby further authorise HSL to charge any interest on debit balance in the said Accounts due to the debiting of Service Charges, and/or recover the charges from any other account maintained by me/us with any bank. I/We specifically agree and confirm that any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws and shall be subject to the jurisdiction of the courts of Mumbai in India.

D. Email Statement: I/We agree to discontinue the Physical Statements if electronic mode is opted. I/We understand that the email statements are for my/our convenience. HSL shall not be liable or responsible for any breach of secrecy because the statements are being sent to the email ID. I/We shall verify the authenticity of the emails I/We receive. I/We shall not hold the HSL responsible for any statement received from frauds/imposters. I/We shall not hold HSL liable if any problem arises with my/our computer network because of me/ us receiving statements from HSL. I/We are authorised by the other holders to receive the Statements to the email address. HSL shall not be responsible if I/we do not receive statement due to incorrect email address and technical reasons. I/We confirm to have read and understood the Terms & Conditions (a copy of which I am in possession of) pertaining to my account. I/We understand and agree that the email statements will only be sent to the First holder in the account. I/we am/are aware that I/we will not receive the transaction statements in paper form. I/we will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account. I/we am/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We shall inform HSL in writing if there is any change in the email address.

Instructions related to mode of receiving Statement of Account in electronic form, are as below: I. All the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/ email account should be taken by the client. Such statement may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised. II. Participant or Client can terminate such arrangement by giving 10 days prior notice. III. In case opted for statement through email, the Clients shall immediately inform the Participant about change in email address, if any. Strike off whichever is not applicable.

Acknowledgment / Consent - Individual Customer

Applicant Preference for receiving Documents as part of Account Opening Kit

I / We wish to receive the following documents in Physical Form Electronic Form

1. Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading);
2. Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories;
3. Uniform Risk Disclosure Documents (for all segments/ exchanges)
4. Guidance Note detailing Do's and Dont's for trading on stock exchanges.
5. Demat Standard tariff sheet
6. Financial Details
7. FATCA Declaration
8. Trading Tariff Sheet

(Signatures of all the holders are required)

1st Holder's Name: <input type="text"/>	S13	(Signature of 1st Holder)
Date: <input type="text"/> Place: <input type="text"/>		
2nd Holder's Name: <input type="text"/>	S13	(Signature of 2nd Holder)
Date: <input type="text"/> Place: <input type="text"/>		
3rd Holder's Name: <input type="text"/>	S13	(Signature of 3rd Holder)
Date: <input type="text"/> Place: <input type="text"/>		

Declaration: I / We have understood the information requirements of this form and hereby confirm that the information provided by me / us on this Form is true, correct and complete, I / We have read and understood the Terms & Conditions mentioned above and hereby accept the same. I/We understand that my personal details as provided / available in HSL records will be used for CKYCR reporting.

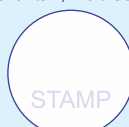
FOR OFFICE USE ONLY (LC to fill details and Sign)

UCC Code allotted to the Client:

Documents verified with Originals and In-Person Verification done by	Client Interviewed By
Employee Name <input type="text"/>	<input type="text"/>
Emp. Code <input type="text"/> Designation <input type="text"/>	Designation <input type="text"/>
Date <input type="text"/>	<input type="text"/>
Signature of Authorised Signatory <input type="text"/>	Signature of Authorised Signatory <input type="text"/>

I/ We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Date:



X Signature of Authorised Signatory

I/We wish to make a nomination for Demat & Trading Account (As per details given below)

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account				1st Nominee				2nd Nominee				3rd Nominee																					
Name of the Nominee(s) <small>(Mr./Ms.)</small>	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E
Shares of Each Nominee <input type="checkbox"/> Equally	<input type="checkbox"/> If Not Equally, specify % _____				<input type="checkbox"/> If Not Equally, specify % _____				<input type="checkbox"/> If Not Equally, specify % _____																								
For CDSL Residual Securities	<input type="checkbox"/> (Please tick any one nominee. If tick not marked default will be first nominee)				<input type="checkbox"/>				<input type="checkbox"/>																								
Any odd lot after division shall be transferred to the first nominee mentioned in the form																																	
Relationship with Applicant <small>(If any)</small>																																	
Nominee(s) Address	_____				_____				_____																								
	CITY		STATE		CITY		STATE		CITY		STATE																						
	COUNTRY	PIN Code			COUNTRY	PIN Code			COUNTRY	PIN Code																							
Nominee Identification Details <small>(please tick any one from below and provide details of the same)</small>	<input type="checkbox"/> Photo and Sign		<input type="checkbox"/> Aadhar No.		<input type="checkbox"/> Photo and Sign		<input type="checkbox"/> Aadhar No.		<input type="checkbox"/> Photo and Sign		<input type="checkbox"/> Aadhar No.																						
	<input type="checkbox"/> PAN		<input type="checkbox"/> Savings Bank A/C No.		<input type="checkbox"/> PAN		<input type="checkbox"/> Savings Bank A/C No.		<input type="checkbox"/> PAN		<input type="checkbox"/> Savings Bank A/C No.																						
	<input type="checkbox"/> Demat account ID		<input type="checkbox"/> Proof of Identity		<input type="checkbox"/> Demat account ID		<input type="checkbox"/> Proof of Identity		<input type="checkbox"/> Demat account ID		<input type="checkbox"/> Proof of Identity																						
	Please specify _____				Please specify _____				Please specify _____																								
Please affix your recent passport size photograph				Please affix your recent passport size photograph				Please affix your recent passport size photograph																									
Sign _____				Sign _____				Sign _____																									
Mobile/Telephone no. of Nominee(s)																																	
Email ID of Nominee(s)	_____				_____				_____																								
Date of Birth of 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									
Guardian Details (should be filled only if nominee(s) is minor)																																	
Name of Guardian <small>(Mr./Ms.) In case of minor nominee(s)</small>	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E
Address of Guardian(s)	_____				_____				_____																								
	CITY		STATE		CITY		STATE		CITY		STATE																						
	COUNTRY	PIN Code			COUNTRY	PIN Code			COUNTRY	PIN Code																							
Relationship of Guardian with Nominee (If any)																																	
Guardian Identification Details <small>(please tick any one from below and provide details of the same)</small>	<input type="checkbox"/> Photo and Sign		<input type="checkbox"/> Aadhar No.		<input type="checkbox"/> Photo and Sign		<input type="checkbox"/> Aadhar No.		<input type="checkbox"/> Photo and Sign		<input type="checkbox"/> Aadhar No.																						
	<input type="checkbox"/> PAN		<input type="checkbox"/> Savings Bank A/C No.		<input type="checkbox"/> PAN		<input type="checkbox"/> Savings Bank A/C No.		<input type="checkbox"/> PAN		<input type="checkbox"/> Savings Bank A/C No.																						
	<input type="checkbox"/> Demat account ID		<input type="checkbox"/> Proof of Identity		<input type="checkbox"/> Demat account ID		<input type="checkbox"/> Proof of Identity		<input type="checkbox"/> Demat account ID		<input type="checkbox"/> Proof of Identity																						
	Please specify _____				Please specify _____				Please specify _____																								
Please affix your recent passport size photograph				Please affix your recent passport size photograph				Please affix your recent passport size photograph																									
Sign _____				Sign _____				Sign _____																									

Mobile/Telephone no. of Guardian			
Email ID of Guardian			

I/We do not wish to make a nomination for Demat & Trading Account.

I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my/our trading /demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/ information for claiming of assets held in my/our trading /demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading/demat account.

Declaration: The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant. This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us. I/we authorise and give my consent to HDFC Securities Limited to share my nomination details with HDFC Bank Limited for the purpose of nomination in my demat a/c and vice versa.

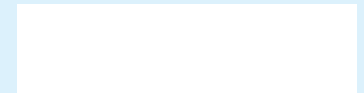
Signature & Name of holder (s)	S14 Signature 1st holder	Signature 2nd holder	Signature 3rd holder
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Witness for Nomination	Name & Address of the Witness, ONLY WHEN thumb impression affixed by the any of holder (Mr. / Ms): _____	D D M M Y Y Y Y	Signature of Witness
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Notes:
 1. All communication shall be sent at the address of the Sole/First holder only. 2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate. 3. Instructions related to nomination, are as below: I The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, and Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form. II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner. III. Only Individual/natural person(s) can be nominee(s). The Nominee shall not be artificial person created/dressed by the law or by a fiction such as trust, society, body corporate, partnership firm or Hindu Undivided Family. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time. IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities. V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir. VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form. VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee. VIII. Savings bank account details shall only be considered if the account is maintained with the same participant.

Nomination form accepted and registered wide Registration No. _____

Dated _____



For Depository Participant
(Authorised Signatory)

Bank Mandate Letter and Instructions

1. I/We, the Client / Joint Account Holders, mandate and instruct HDFC Bank, acting through any of its officers or employees:
 - a. To block, hold and/or create / mark a lien, charge or hypothecation on one or more of the Associated Bank Accounts or all or any of the money therein including in the internal systems of the Bank, as HDFC Bank may deem fit and thereafter without any further instructions (this writing constituting my/our instructions to do so) to transfer all the said money to HDFC Securities or any account(s) of HDFC Securities specified in the schedule hereto or to such other accounts as may be specified on the website of HDFC Securities and by electronic mail otherwise or in accordance with the instructions of HDFC Securities.
 - b. To transfer any money from any Associated Bank Account(s) to HDFC Securities or any account(s) of HDFC Securities specified in the schedule hereto or to such other accounts as may be specified on the website of HDFC Securities and by electronic mail or otherwise for the following purposes: (i) towards stock exchange related margin/delivery and/or settlement obligations arising out of trades executed by me/us on the stock exchange through HDFC Securities; (ii) for recovering any outstanding amount due from me/us arising out of my/our trading activities on the stock exchanges through HDFC Securities; (iii) for meeting obligations arising out of my / our subscription to, units of Unit Trust of India or other mutual funds, government securities, negotiable instruments, certificates of deposits, participation certificates, commercial paper, bank deposits, fixed deposits, money market instruments, collective investment schemes or any other security or financial instrument, derivatives, including but not limited to equity derivatives, currency derivatives, interest rate derivatives, forwards, futures, swaps and options, and public provident fund, national savings schemes, new pension system / scheme and other savings schemes of Government of India or other undertakings, life insurance, general insurance or such other products / facilities / services offered and/or distributed by HDFC securities, from time to time or in connection with any transaction effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation; (iv) towards monies/ fees/ charges, or the like due to HDFC Bank and/or HDFC Securities payable by virtue of my/ us using/ subscribing to any of the facilities/ services availed by me/ us. Provided further, that any funds that have been erroneously transferred to HDFC Securities / received by HDFC Bank, or that HDFC Securities or HDFC Bank were not entitled to receive, shall be re-transferred / returned to the associated account from which they were transferred.
 - c. To sign, deliver and/or acknowledge all instructions, forms, instruments, cheques, drafts, slips, receipts and other instruments and writings which are necessary or advisable for performing all or any of the mandate and instructions hereby conferred.
 - d. To apply for, purchase, redeem and/or sell in any other manner acquire or dispose of units of Unit Trust of India or other mutual funds, government securities, negotiable instruments, certificates of deposits, participation certificates, commercial paper, bank deposits, fixed deposits, money market instruments or other instruments of like nature, collective investment scheme or any other security or financial instrument, , currency derivatives, interest rate derivatives, and public provident fund, national savings schemes, new pension system / scheme and other savings schemes of Government of India or other undertakings, life insurance, general insurance or such other products/facilities/services, offered and/or distributed by HDFC Securities.
 - e. To receive and hold certificates, title documents, deposit receipts, account statements and other documents and writings pertaining to mentioned above and/or any amount invested, advanced or expended by me/us or on my/our behalf and to acknowledge receipt of the same
 - f. To sign and endorse all such application forms, transfer deeds, deposit receipts, redemption requests, negotiable and other instruments,

contracts and other writings and do all such acts as may be required for all or any of the above purposes or otherwise in connection with any transaction effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation. For this purpose HDFC Bank may act on the basis of any certificate or writing by HDFC Securities that any transaction is effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation and the same will be binding on the Joint Account Holder(s) and any other person relying on this mandate and instructions.

- g. To send a consolidated summary of my/our scrip-wise buy and sell positions taken with average rates by short message service or through email on a daily basis. PROVIDED THAT HDFC Bank shall exercise the mandate conferred only pursuant to instructions in that behalf given by the Client, which instructions may be given orally, over the telephone, through the internet, through a kiosk, electronically or in any other manner acceptable to HDFC Bank and such instructions given to HDFC Bank or HDFC Securities shall be admissible in evidence and shall not be questioned by me/us and shall be conclusive and binding against me/us. AND PROVIDED FURTHER THAT the aforesaid mandate and instructions may (at HDFC Bank's and/or HDFC Securities' option) be exercised by HDFC Bank on behalf of the Client alone or all or any of the Joint Account Holders, and any such exercise shall be binding upon all the Joint Account Holders. AND I/We the Joint Account Holders do mandate and instruct HDFC Bank to, from time to time and without requiring my/our further instructions or consent (this writing constituting my/our consent).

For the purpose of the above mandate and instructions, the Joint Account Holders are instructing HDFC Bank and HDFC Securities : (i) The Joint Account Holders of any Associated Bank Account(s) shall at all times make available sufficient funds in the Associated Bank Account(s) for the purpose of the transactions to be carried out pursuant to the Account Opening Documentation and shall not, without HDFC Securities prior written consent, close an Associated Bank Account and/ or Associated Demat Account or directly or indirectly operate or give instructions in respect of any Associated Account which may prejudice HDFC Securities rights under the Account Opening Documentation or the transactions undertaken thereunder or mandate exercisable by HDFC Bank hereunder or which would be contrary to the provisions of the Account Opening Documentation or any acts by HDFC Bank pursuant to the above. (ii) The Joint Account Holders of any Associated Bank Account(s) agree that (a) instructions given by the Client to HDFC Bank to block funds in or to transfer funds from an Associated Bank Account in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities will be given first priority over any other instructions or cheques (whether prior or subsequent) given or issued by any Joint Account Holder by itself or through any other attorney, (b) funds once blocked on the instructions of the Client in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities can be released only with the express written consent of HDFC Securities to HDFC Bank; and (c) if the Client has given any blocking, holding, debit or other instructions in respect of any money in any Associated Bank Account, in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities, and HDFC Securities receives transfer, debit or other instructions in respect of such money from any Joint Account Holder or any other person, then HDFC Bank shall first give effect to the first mentioned instructions and shall also transfer the concerned money to HDFC Securities account; In case of death, disability, winding up or liquidation of any Joint Account Holder, HDFC Bank shall be entitled to immediately freeze the Associated Bank Accounts, and the mandate, shall be revoked as regards such Joint account Holder upon the intimation in writing to HDFC Bank and HDFC

Securities of such death, disablement, dissolution, winding up or liquidation by the surviving Joint Account Holder/s and the instructions and agreements contained herein shall be revoked within two days of such intimation.

Due to any systems used for executing instructions there could be consequent delay of one business day (in the normal course) or other number of days (for reason not in control of HDFC Bank) from the date of receipt of the instructions to the actual execution of the instructions in the systems and hence instructions will be provided well in advance in order to enable timely delivery. Further all instructions, whether for a hold or transfer or otherwise would be in respect of the balances in the Associated Bank Accounts on the previous day and HDFC Bank would not permit blocking/transfer of any other action in respect of funds which have come to the credit of the Associated Bank Accounts on the current day.

This mandate may be revoked by the Client at any time, however, such revocation shall not affect the obligations of the Client outstanding at the time such revocation and the mandate and instructions granted hereunder shall continue until all transactions and instructions already executed or issued in pursuance of this mandate and all outstandings towards HDFC Bank have been settled.

I/We the Client and the other account holders have hereby executed this mandate and instruction at _____ on the _____ day of 20____.

List of HDFC Securities Ltd. bank accounts where funds can be moved w.e.f. October 01, 2019.

Bank Name	HDFC Bank Ltd.
Account no	
50200036338693, 50200036340161, 50200036338578, 50200036340151, 50200036338730, 50200036340148, 50200036340174, 50200036340250, 50200036338720, 50200036338717, 50200034589301, 00602030000061, 00602340029392, 00602340029400, 00602340029410, 00602340029427, 00602340029434, 00602340029444, 00602340029451, 00602340029461, 00602340029478, 00602340029488, 00602340029616, 05422320002170, 15772340000727, 57500000389146, 00990610005906	

ASSOCIATED BANK ACCOUNT DETAILS:

HDFC BANK A/C	
Account Type	
Customer / UCIC ID	
Branch	

S20		
Signature 1st holder	Signature 2nd holder	Signature 3rd holder
Name of 1st holder	Name of 2nd holder	Name of 3rd holder
Constitution of 1st holder	Constitution of 2nd holder	Constitution of 3rd holder
Address of 1st holder	Address of 2nd holder	Address of 3rd holder
Address of 1st holder	Address of 2nd holder	Address of 3rd holder

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/PIO Card/OCI Card 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 a minor's account with Depository Participant or Mutual Fund, 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.
12. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
13. Demat master or recent holding statement issued by DP bearing name of the client.
14. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.

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 FI/sub account, Power of Attorney given by FI/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, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer , Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
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:

The Bank/ Securities staff carrying out the IPV should:

1. Sign in the place provided for "Signature of Authorised Signatory" within the box "For Office USE Only" on the KYC Form and
2. Affix the OSV stamp along-with the signature on the relevant supporting documents pertaining to Proof of Identity & Proof of Address.

Important pre-requisites for the acceptance of the request of F&O privilege based on the supporting documents

List of acceptable documents	Condition if any
Copy of ITR Acknowledgement (for last financial year)	Should have a gross income of more than Rs. 1.2 lakh
Copy of Form 16 in case of salary income (for last financial year)	Should have a gross salary of more than Rs. 1.2 lakh
Net worth certificate (latest one or at the end of last financial year)	Should be dated and have a minimum value of Rs. 1.2 lakh
Salary Slip (for one month in current financial year)	Gross Salary should be more than Rs. 10,000
Bank account statement for last 6 months*	There should be balance atleast on a single day of more than equal to Rs. 10,000/-
Copy of demat account Holding statement. (not more than 3 months old) **	The statement should display the value of securities lying in the demat account. The total value should be more than Rs. 10,000/-
Life insurance policy	(any insurance co. with minimum cover of two lakh)
KVP,NSC,IVP & Bonds	Should be valid as on date of submission and have a minimum value of Rs. 10,000/-
Bank FD's, Corporate FD's	Should be valid as on date of submission and have a minimum value of Rs. 10,000/-
Mutual Fund Statement	Statement should not be more than 2 months old. The latest NAV and value should be more than Rs 10,000/-
Ownership of assest such as Gold	Value as mentioned on the bill should be Rs. 10,000/-
Letter from Society	The letter should state ownership of the flat. It should be on the letter head of the society
RC book of the vehicle	List of acceptable documents

* Bank statement as downloaded from the net banking or xerox of physical statement be submitted

** incase of demat account statement where only holdings are mentioned without valuation, then the same should be manually mentioned on the date on submission should be self attested by the client or the employee of Depository Participant (DP).

Checklist for Individuals / Minor / Applicant(s):	For the Applicants		For DP use	
Self attested copy of PAN submitted by ALL applicants.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In case the photo on PAN copy is not clear, another self attested ID proof	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Self attested copy of Address Proof of ALL the applicants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
KYC form is duly filled, signed and submitted by ALL applicants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Photograph affixed and signed across such that part of the signature is on the form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy of cancelled cheque leaf of the 1st applicant is provided	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Type of account mentioned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complete address of the bank, i.e Name and Address in full with Pin code is provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MICR number duly filled-in	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FTR CHECKLIST	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Client Sign Missing ? Please Check That Customer has Signed the AOF in all the required Boxes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In Case of Scheme L - Check company code of Client (Finware) with company code in 'L' list	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy of Pan Card & Address proof is Clearly Readable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Original seen & verification stamp is affixed on pan card/Address proof & signed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SB A/c No written in the form is correct (14 digits) & belongs to the customer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All Alterations/Corrections are Attested by the customer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

S21

Signature of Customer

BLANK

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

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate Demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the Demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of Demat accounts"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in Demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the Demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his Demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

14. However, if there is no transaction in the Demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

15. The DP may provide the services of issuing the statement of Demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of Demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of Demat account in the electronic mode, then the Participant shall be obliged to forward the statement of Demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the Demat account of the Beneficial Owner, for

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

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

Default in payment of charges

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

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

Liability of the Depository

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

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

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

Freezing/Defreezing of accounts

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

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

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the 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.

Annexure - Regular / Basic Services Demat Account (BSDA)

Sr. No.	Fee Head	Type	<input type="checkbox"/> I wish to open a Regular Demat Account	<input checked="" type="checkbox"/> I wish to open Basic Services Demat Account (BSDA)
			Regular Demat Account	Basic Services Demat Account (BSDA)
			Fees	Fees
1	Account opening			Nil
2	AMC		Rs. 750/- p.a. (Free for first year.)	Holding Value between 0 to 4,00,000 - NIL AMC Holding Value between 4,00,001 to 10 Lacs - Rs. 100 p.a
3	Dematerialization	Certificate + Dematerialisation request	Rs. 5/- per certificate + Rs. 35/- per request or min. Rs.40/-	Rs. 5/- per certificate + Rs. 35/- per request or min. Rs.40/-
4	Rematerialization	Rematerialisation Request	Rs 30/-per request +NSDL /CDSL actuals, Currently A)Rs 10/- for every hundred securities or part thereof or B) a Flat fee of Rs 10/- per certificate whichever is higher (Min Rs. 40/- and Max Rs. 5 lacs)	Rs 30/-per request +NSDL /CDSL actuals, Currently A)Rs 10/- for every hundred securities or part thereof or B) a Flat fee of Rs 10/- per certificate whichever is higher (Min Rs. 40/- and Max Rs. 5 lacs)
5	Debit transaction charges (Equity/Equity MF) (Market/Off - Market)	On Market	0.04% of the value of txn or Rs. 20/- whichever is higher	
		Off Market	0.04% of the value of txn or Rs. 20/- whichever is higher	
6	Debit transaction charges (Debt/Debt MF) (Market/Off - Market)	On Market	0.04% of the value of txn or Rs. 20/- whichever is higher (Max Rs. 5000)	
		Off Market	0.04% of the value of txn or Rs. 20/- whichever is higher (Max Rs. 5000)	
7	Credit Transaction		NIL	
8	Pledge Services (Creation / Invocation / Closure)		0.04% or Rs. 40/- whichever is higher for normal and CUSPA pledge Margin Pledge in Favor of HDFC Securities Limited - Rs. 10/- per transaction Margin Funding Pledge in Favor of HDFC Securities Limited - Rs. 20/- per transaction	
9	Courier charges per Demat/Remat request	Inland Address	Rs. 35/- per request	
		Foreign Address	Rs. 500/- per request	
10	Delivery Instruction Booklet		Rs. 75/- per booklet (5 leaves)	

PLEASE NOTE : In case you demat account is not eligible for Basic Services Demat Account (BSDA) by CDSL then DP charges for regular demat account will be levied.

Terms & Conditions:

- Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
- Customers who have a banking relationship with HDFC Bank to provide a debit authorisation/POA for the recovery of service charges.
- The above charges are exclusive of applicable GST and other taxes / statutory charges levied by Government bodies / statutory authorities from time to time, which will be charged as applicable.
- All charges / service standards are subject to revision at the HSL sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days and would be made available on my/our website
- *** The Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. (For more details, kindly refer our website www.hdfcsec.com)
- To evaluate the eligibility for Basic Services Demat Accounts (BSDA), the value of holdings will be determined on a daily basis, as per the file sent by the NSDL / CDSL. The AMC will be calculated at the pro-rata basis based on the value of holding of securities in the account.
- In case of BSDA, such accounts would be levied AMC applicable basis the value of holdings exceeding the prescribed limit immediately from the next day of exceeding such limit.
- In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard program Demat accounts without further reference to the respective customers and will be levied standard Program pricing.
- In case if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
- The value of the transaction will be in accordance with rates provided by Depositories (NSDL / CDSL)
- The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- The operating instructions for the joint accounts must be signed by all the holders.
- All instructions for transfer must be received at the designated DP servicing branches of the HSL at least 24 hours before the execution date.
- In case of non-recovery of service charges due to inadequate balance in your linked bank account or inadequate advance fees or invalid bank account, the Depository services for your account will be temporarily discontinued. The services will be resumed in a minimum of three working days from the date of receipt of request with HSL and post payment of all outstanding dues towards Depository charges.
- In case the Demat accounts are with nil balances / transactions or in case if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of 1 year. However the electronic statement of holding will be sent only to the customers whose email IDs are registered for e-statement.
- The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence despatch of physical statements will be discontinued.



I Think Techno Campus, Building - B, "Alpha", Office Floor 8, Kanjurmarg (East), Mumbai - 400042.

DP & TRADING ACCOUNT ACKNOWLEDGMENT

NSDL (DP ID - IN 304279), CDSL (DP ID - 12086700)

Received the application from Mr/Ms _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the

Participant Stamp & Signature

DP ID & Client ID allotted to you in all your future correspondence.



HDFC securities Limited

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Mumbai - 400 042.
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