

A. CORPORATE ACCOUNT REQUIREMENTS

All the documents should be originally attested with seal of company by all the authorized signatory(ies). Moreover, on all the photocopy documents sign of in-person verification should be done with 'VERIFIED WITH ORIGINAL' seal. 'In person Verification' sign is required on the form by a staff of R.B.K. Share Broking Ltd.

Demat account requirements:

- 1) Demat Corporate Account Opening Form filled and signed with Seal of company at all the places (marked 'v' for client signature) by the authorized signatory(ies)
- 2) KYC Form
- 3) PAN card of Company
- 4) Address proof of Company
- 5) Bank proof of Company
- 6) Copy of Board Resolution on letter head of company for opening a DP account (as per format in Annexure 7)
- 7) Common seal of company on Board Resolution
- 8) Certified true copies of Memorandum & Articles of Association & Certificate of Incorporation
- 9) POA resolution (as per given format in Annexure 3), if POA given
- 10) List of directors as on present date on letter head of company (as per the following MCA website
<http://www.mca.gov.in/DCAPortalWeb/dca/MyMCALogin.do?method=setDefaultProperty&mode=39>) Note: Company should be in existence means status of company should be "Active" on MCA Site. Branches are required to check the status on the following website
<http://www.mca.gov.in/DCAPortalWeb/dca/MyMCALogin.do?method=setDefaultProperty&mode=31>
- 11) Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulations, duly certified by the company secretary / Wholetime director / MD (to be submitted every year)
- 12) Authorized Signatory List with specimen signatures & photographs (as per given format in Annexure 1)
- 13) Photograph, PAN, POI, POA of authorized signatory(ies)
- 14) Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
- 15) Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly
- 16) Form no.32 (with ROC receipt) for any change in the name of Directors
- 17) Introducer details (introduced by existing A/c Holder or company's bank)
- 18) Copy of the balance sheets for the last 2 financial years (to be submitted every year)

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ANNEXURE 3

COMPANY BOARD RESOLUTION FOR POA (To be printed on the letterhead of company)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF THE COMPANY HELD AT THE REGISTERED OFFICE OF THE COMPANY AT ADDRESS ON DATE AT TIME .

RESOLVED THAT pursuant to the earlier resolution, if any, passed in this connection herewith, the Board of Directors of the Company be and hereby unanimously consent to also operate the Beneficiary Account(s) to be opened or already opened with M/s R.B.K. Share Broking Limited through the Power of Attorney (POA) to be executed in favour of M/s R.B.K. Share Broking Limited, hereinafter referred to as 'Attorney'.

FURTHER RESOLVED THAT the said Attorney be and hereby authorised to issue instructions relating to pay-in obligation to the CM account(s) of R.B.K. Share Broking Ltd.

FURTHER RESOLVED THAT the Board is hereby authorised to rectify all lawful acts, matters, deeds and things done by the said Attorney, pursuant to the power mentioned hereinabove.

FURTHER RESOLVED THAT Mr. /Ms _____ and/or Mr. /Ms _____ be and hereby individually/jointly authorised to do all the needful acts to give effect to the above resolution. FURTHER RESOLVED THAT a copy of the foregoing resolution certified as True Copy by the Director of the Company be furnished to R.B.K. Share Broking Limited's Depository Division and the said Depository Division is bound to act thereon.

For .

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ANNEXURE 7

Board Resolution for Opening Demat Account (To be printed on the letterhead of the firm)

CERTIFIED TRUE COPY OF THE RESOLUTION OF THE BOARD OF DIRECTORS OF _____ PASSED AT THE BOARD MEETING HELD ON AT THE REGISTERED OFFICE OF THE COMPANY AT AND DULY RECORDED IN THE MINUTES OF THE COMPANY.

"RESOLVED THAT the Company shall open a Depository (Beneficiary) Account with R.B.K. Share Broking Ltd., a Depository Participant with Central Depository Services (India) Limited (CDSL) for the purpose of Investment/maintaining/keeping/settling securities from time to time." FURTHER RESOLVED THAT Mr./Ms _____, and / or Mr. /Ms. _____ be and hereby authorized on behalf of the Company to apply, make, sign and execute any paper(s), application(s), and/or other document(s) in connection with opening of the above depository account and to do all such acts, deeds, matters and things as may be necessary to give effect to the aforesaid resolution.

" FURTHER RESOLVED THAT, Mr./Ms _____ and / or Mr./Ms. _____ be individually/jointly is/are hereby authorized to operate the account on behalf of the company.

FURTHER RESOLVED THAT, a certified copy of the said resolution be and hereby furnished to R.B.K. Share Broking Ltd for the purpose of implementing this Resolution.

Specimen Signatures of Authorized Person.

No	Name	Specimen Signatures

For & On Behalf of (Company's name)

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Authorised Signatory

Additional KYC Form for Opening a Demat Account**For Non-individuals**

R.B.K. SHARE BROKING LTD 1/A, ALLI CHAMBERS, MEDOWS STREET, FORT, MUMBAI – 400 001. TEL.NO. : 22651529 / 22652646 E-MAIL : RBKSBL585@GMAIL.COM DP ID : 12024500 SEBI REG. NO. : IN-DP-253-2016

(To be filled by the Depository Participant)

Application No.								Date	D	D	M	M	Y	Y
DP Internal Reference No.								Client ID						
DP ID	1	2	0	2	4	5	0	0						

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

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

Holders Details

Sole / First Holder's Name	Search Name	PAN														
		UID														
		UCC														
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"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____	To be filled by the DP
SEBI Registration No. (If Applicable)	SEBI Registration date
RBI Registration No. (If Applicable)	RBI Approval date
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____

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 (Tick the applicable box. If not marked the default option would be Physical)	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic

Clearing Member Details (To be filled by CMs only)

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

I / We wish to receive dividend / interest directly in to my bank account 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
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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	

- (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 Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs.25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000
	Net worth as on (Date) _____ Rs _____ <i>[Net worth should not be older than 1 year]</i>
	Please tick if any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> . Please provide details as per Annexure 2.2 A.
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).									
	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									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	<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)								
Easi	To register for easi , please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

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

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

(In case of more authorised signatories, please add annexure)

(Signatures should be preferably in black ink).

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

Acknowledgement Receipt

Application No.:

Date:

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

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

Depository Participant Seal and Signature

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

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Non-Individuals

PHOTOGRAPH of
Authorised signatory (ies)

Please affix the recent passport
size photograph and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

Name of Applicant																			
Date of Incorporation	D	D	M	M	Y	Y	Y	Y	PAN										
Place of Incorporation					Date of Commencement of business				D	D	M	M	Y	Y	Y	Y			
Registration No. (e.g. CIN)																			
Status	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Limited Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defence Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP Others (please specify) _____																		

B. ADDRESS DETAILS

Correspondence Address														
City/Town/Village					State									
Country					PIN Code									
Telephone No. (R)					Fax No.									
Telephone No. (O)					Mobile No.									
E-mail ID														
Specify the Proof of Address submitted for Correspondence Address														
Registered Office address (if different from Correspondence Address)														
City/Town/Village					State									
Country					PIN Code									
Specify the Proof of Address submitted for Registered Address														

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.

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.

X

Annexure 2.4

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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



I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out

what is not applicable). BOID

1	2																		
---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name _____

Second Holder's Name _____

Third holder's Name _____

Mobile Number on which messages are to be sent

+91																			
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of : _____

Email ID: _____

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

X _____

Sole / First Authorised Signatory

X _____

Second Authorised Signatory

Q _____

Third Authorised Signatory

Place:

Date: _____

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

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

x

Know Your Client (KYC)
Application Form (For Non- Individuals Only)



CDSL VENTURES LIMITED

....Exploring New Horizons

Please fill the form in ENGLISH and in BLOCK letters
 Fields marked * are mandatory
 Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: _____

Application Type*: New KYC Modification KYC

1. Entity Details (please refer guidelines)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Date of Incorporation* _____ Place of Incorporation* _____

Date of Commencement* _____ Registration Number* _____

Entity Type* Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership
 Trust/Charity/NGO HUF FPI Category I FPI Category II
 AOP Bank Government Body Defence Establishment
 Body of Individuals Society LLP
 Non-Government Organization
 Others _____

Please Tick (✓)

2. Proof of Identity* (please refer the guidelines)

- Officially Valid Document(s) in respect of person authorized to transact
- Certificate of Incorporation/Formation _____ Registration Certificate _____
- Memorandum of Articles and Association Partnership Deed Trust Deed
- Board Resolution Power of attorney granted to its manager, office, employees to transact on its behalf
- Activity Proof -1* (For Sole Proprietorship Only) Activity Proof -2* (For Sole Proprietorship Only)

3. Address Details* (please refer the guidelines)

A. Registered Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

B. Correspondence/Local Address in India (if different from above)*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Applicant Digital Signature (DSC)

Proof of Address* (attested copy of any one POA to be submitted—*Not more than 3 months old)

- Certificate of Incorporation/Formation
 Registration Certificate
 Other document _____
 Latest Telephone Bill* (Landline only)
 Latest Electricity Bill*
 Latest Bank Account Statement*
 Registered Lease/ Sale Agreement of Office Premises
 Validity/Expiry Date of POA (Expiry Date) _____
 Any other proof of address document (as listed overleaf) _____

4. Contact Details

Email ID _____ Mobile No. _____
 Email ID _____ Mobile No. _____
 Tel (off) _____ Fax _____

5. Annexures Submitted

Number of Related Persons -

6. Remarks / Additional Information

7. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I 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.
 I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.
 DATE: _____ (DD-MM-YYYY)
 PLACE: _____

Applicant Digital Signature (DSC)

X

Applicant Wet Signature

8. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (Originals Verified) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name OR Code: _____

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**Know Your Client (KYC)
Annexure (For Non- Individuals Only)**



CDSL VENTURES LIMITED
...Exploring New Horizons

Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked ** are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: _____

Application Type*: New KYC Modification KYC

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female Transgender

Nationality* Indian Other _____

Related Person Type*

Director Promoter Karta Trustee Partner Court Appointed Official Proprietor

Beneficiary Authorized Signatory Beneficial Owner Power of Attorney Holder

Others _____ (please specify) DIN: _____ (mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX _____

B — Passport Number _____ (Expiry Date) _____

C — Voter ID Card _____

D — Driving License _____ (Expiry Date) _____

E — NREGA Job Card _____

F — NPR _____

Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant e-SIGN

[Handwritten Signature]

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____
 Line 2 _____
 Line 3 _____
 City/Town/Village* _____ District* _____ Pin Code* _____
 State* _____ Country* _____
 Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX _____ (Expiry Date) _____
 B — Passport Number _____ (Expiry Date) _____
 C — Voter ID Card _____ (Expiry Date) _____
 D — Driving License _____
 E — NREGA Job Card _____
 F — NPR Letter _____
 Z — Others _____ (any document notified by Central Government)
 Identification Number _____

3. Contact Details

Email ID _____
 Mobile No. _____
 Tel (off) _____ Tel (Res) _____

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I 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.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: _____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN

Applicant Wet Signature

X

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) _____



CDSL TARRIF

DP ID	24500
ABOUT US	WE ARE THE MEMBER OF BSE /NSE FOR THE LAST 25 YEAR
SERVICES	DEPOSITORY SERVICES
STATUTORY CHARGES AT THE TME OF ACCOUNT OPENING	NIL
ADVANCE / DEPOSIT	CHEQUE OF RS. 450/- FOR INDIVIDUAL CHEQUE OF RS. 1180/- FOR NON INDIVIDUAL
ACCOUNT MAINTENANCE	RS. 300/- P.A (INDIVIDUAL) RS.1000/- P.A. (CORPORATE)
DEMAT	RS. 25/- PER DRN, RS. 3/- PER CERTIFICATE RS. 25/- FOR LOCAL COURIER & RS. 50/- FOR OUTSTATION
REMAT	RS. 25/- PER RRN & RS. 25/- PER CERTIFICATE
TRANSACTION (DEMIT)	RS. 12/- PER ISIN UPTO 5,00,000.00
TRANSACTION (DEBIT)	0.10 % PER ISIN > 5,00,000.00
PLEDGE CREATION	0.02 % (MINIMUM RS. 50/-)
PLEDGE CREATION CONFIRMATION	NIL
PLEDGE CLOSURE	0.02 % (MINIMUM RS. 50/-)
PLEDGE CLOSURE CONFIRMATION	NIL
PLEDGE INVOCATION	0.04 % (MINIMUM RS. 75/)
OTHER CHARGES	RS. 25/- PER INSTRUCTION BOOK DEBTS INT : 0.04 % (MAXMIMUM RS. 100)
BSDA CHGS	RS. 100 P.A.
DESIGNATED DIRECTOR UNDER PMLA	MR. PRIYANK KHANDELWAL
EMAIL ID OF DESIGNATED DIRECTOR	priyank@rbksbl.com

PLEASE ACKNOWLEDGE AND SIGN ON THE TARRIF SHEET

BO NAME

X

SIGNATURE OF THE BO

If passive NFE, please provide below additional details for each of Controlling person. (Please attach additional sheets if necessary)

Name and PAN / Any other Identification Number
(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence, NREGA Job Card, Others)
City of Birth - Country of Birth

Occupation Type - Service, Business, Others
Nationality
Father's Name - Mandatory if PAN is not available

DOB - Date of Birth
Gender - Male, Female, Other

1. Name & PAN City of Birth Country of Birth	Occupation : Type Nationality Father's Name	DOB DD/MM/YYYY Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
2. Name & PAN City of Birth Country of Birth	Occupation : Type Nationality Father's Name	DOB DD/MM/YYYY Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
3. Name & PAN City of Birth Country of Birth	Occupation : Type Nationality Father's Name	DOB DD/MM/YYYY Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others

#Additional details to be filled by controlling persons with tax residency / permanent residency / Citizenship / Green Card in any country other than India:
 • To include US, where controlling person is a US citizen or green card holder
 *In case Tax Identification Number is not available, kindly provide functional equivalent

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962. Which Rules require Indian financial institutions such as the Bank 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 with holding 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
 If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.
 It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

PART C : Certification

I / We have understood the information requirements of this Form (read along with the FATCA & CRS instructions) 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 FATCA & CRS Terms and Conditions below and hereby accept the same.

Date: / /

Name	
Designation	

Signature

Signature

Signature

Depository Account Opening Documents – Checklist (Clearing Member / Corporate)

Sr. No.	Name of the Document	Mandatory	Non Mandatory
1.	Account Opening Form	<input type="checkbox"/>	<input type="checkbox"/>
2.	Depository Agreement	<input type="checkbox"/>	<input type="checkbox"/>
3.	SEBI Certificate for Clearing Member	<input type="checkbox"/>	<input type="checkbox"/>
4.	Memorandum and Articles of Association for Corporates	<input type="checkbox"/>	<input type="checkbox"/>
5.	Board Resolution for Corporates	<input type="checkbox"/>	<input type="checkbox"/>
6.	Specimen Signatures List	<input type="checkbox"/>	<input type="checkbox"/>
7.	Fax Indemnity (Optional)	<input type="checkbox"/>	<input type="checkbox"/>
8.	Passport Size Photograph of Each Authorised Signatory	<input type="checkbox"/>	<input type="checkbox"/>

On Rs.200/- Stamp Paper

Fax Indemnity on Rs.120/- Stamp Paper

Instructions for the Applicants :

- If the Clearing Member is a Sole Proprietor or an Individual then the Corporate Account Opening Form should be filled in.
- Signatures can be in English, Hindi or any of the other language contained in the 8th schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned language must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his / her official seal.
- Details of the Names, Address and Tel. No. etc. of the Magistrate / Notary Public / Special Magistrate are to be provided in case of any attestation done by them.
- In case of additional signatures, separate annexure should be attached to the application form.
- In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarized copy thereof, Name of the POA, Signature of the POA, must be lodged with the DP along with the application.
- All correspondence / queries shall be addressed to the First / Sole Applicants only.
- Strike off whichever is not applicable.
- The following documents are to be submitted by the Corporate Applicants :-
 - Certified true copy of Board Resolution for persons authorized to act as Authorized Signatory (ies).
 - Memorandum and Articles of Association of the company
 - One passport size photograph of each authorized signatory
- In addition to 8 above, the following documents are to be submitted by CMs, FIIs, NRIs and OCBs :
 - Copy of Certificate of Registration with SEBI (where applicable)
 - Copy of RBI Approval for FIIs, NRIs and OCBs.
 - BOs desiring to have their cash corporate benefits like dividend, interest etc. on a repatriable basis, must forward a certified true copy of the RBI approval to each of the RTAs / Issuers where the BO is holding the securities clearly mentioning their BO Id and DP Id.

Copy to CDS in case of Clearing Member : Yes / No Date : _____

For Office Use only :-

Details entered in the System : Yes / No Date : _____

Intimation sent to CM / Corporate : Yes / No Date : _____

Name of the Officer : Yes / No Date : _____