



Pragya Securities Pvt Ltd

227 / 228 - Kailas Plaza, V. B. Lane, Ghatkopar (East), Mumbai - 400 075.

Phone : 6728 3333 • Investor Grievance email Id : lgrd@paplonline.com

DP ID	1	2	0	2	8	1	0	0	Client ID	0	0					Internal Reference No.	
Trading Code							Group					Family			Date		
KYC Number (CERSAI)																	

Full Signature required where “XX” marked & initial required where “X” marked.

The Following documents are to be submitted by applicants & should be self certified :

- One passport size photographs signature below Photo.
- Clear Photocopy of PAN Card for all holders are required
- Proof of Address (Any one) for all holders.
 - * Driving Licence * Telephone Bill (Not more than 3 months)
 - * Passport * Voter's ID Card * Aadhaar Card
 - * Bank Pass Book / Bank Statement (Statement must not be older than 3 months & must be verified by Bank Manager.
 - * Valid Leave & Licence Agreement / Agreement for Sales. (Registered)
- 1) 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 and not more than 4 months old, (or) iii) Photocopy of the Passbook having name and address of the BO, (or) iv) Letter from the Bank.
 - * In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.
- Introduction By existing Account Holder.
- In case Minor Nominee, photocopy of Birth Certificate require.
- In case of HUF A/c. all above documents are required in Additional HUF PAN card & Declaration.
- All Signature in black ink only.
- All KYC Documents are to be self attested.
- Bank Proof * Photocopy of Cancelled Cheque.
 - * Photocopy of Bank Pass Book or Latest statement.
- In case of Minor Holder, Photograph of guardian has to be affixed along with minor's photograph.

- Note :**
- The applicant, in case of individual or Authorised person, In case of others should appear in person before the designated official of DP for “in person” verification and bring the original copy of relevant documents.
 - Names of all the holders should be mentioned in the same pattern as it appears on PAN card.

Instructions for Applicants

1. If the Clearing member is a Sole Proprietor or an Individual, then the Corporate Account Opening Form should be filled in.
2. Signatures can be in English, Hindi or any of the other languages contained in the 8th schedule of the constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
3. Details of the Names, Address and Tel. No. e.t.c. of the magistrate / Notary Public / Special Executive Magistrate are to be provided in case of any attestation done by them.
4. In case of additional signatures, separate annexures should be attached to the application form.
5. In case of applications under a Power of Attorney. the relevant Power of Attorney or the certified and duly notarised copy thereof, Name of the POA, Signature of the POA, must be lodged with the DP alongwith the application.
6. All correspondence / queries shall be addressed to the **first/Sole Applicant** only.
7. Suffix refers to **Mr. X Junior** or **Mr. X Senior** or **Lord Y I** or **Lord Y II** etc.
8. Where the holder is a minor, person lawfully entitled to act on behalf of the minor should sign the nomination.
9. Strike off whichever is not applicable.
10. The Following documents are to be submitted by applicants.

1. One recent passport size photograph signature across the Photo.
2. Clear Xerox of PAN Card for all holders are required.
3. Proof of Address (Any one) for all holders.
 - Driving Licence • Electricity Bill (Not more than 2 months)
 - Passport • Voter's ID Card • Telephone Bill (Not more than 3 months) • Aadhaar
 - Bank Pass Book / Bank Statement (Statement must not be older than 3 months & must be verified by Bank Manager.
 - Valid Leave & Licence Agreement / Agreement for Sales.
4. 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 and not more than 4 months old, (or)
iii) Photocopy of the Passbook having name and address of the BO, (or)
iv) Letter from the Bank.
 - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.
5. Introduction By existing Account Holder.
6. In case Minor Applicant / Nominee, Birth Certificate require.
7. In case of HUF A/c. all above documents are required in Additional HUF PAN card & Declaration.
8. All Signatures should be preferably in black ink only.
9. Bank Proof • Copy of cancelled Cheque.
 - Copy of Bank Pass Book or Latest statement.

COMMON KYC

CENTRAL KYC REGISTRY Know Your Customer (KYC) Application Form Individual

Important Instructions:

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



For office use only

Application Type* ☐ New ☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

☐ Name* (Same as ID proof)

Maiden Name (If any*)

Father / Spouse Name*

Mother Name*

Date of Birth*

Gender ☐ M Male ☐ F-Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN-Indian ☐ Others (ISO 3166 Country Code)

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector) ☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student) ☐ B-Business ☐ X-Not Categorised



Signature / Thumb Impression

☐ 2. CONTACT DETAILS (All communications will be sent on provided)

T Tel. (Res) -- Mobile --

FAX Email ID

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

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

☐ A- PAN Card

☐ B- Voter ID Card

☐ C- Passport Number Passport Expiry Date

☐ D- Driving Licence Driving Licence Expiry Date

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any documents notified by the central government) Identification Number

☐ S- Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)

☐ Voter Identity Card ☐ NREGA job Card ☐ Others

☐ Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U. T Code* ISO 3166 Country Code*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)☐ Same as current / Permanent / Overseas Address details (in case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U. T Code* ISO 3166 Country Code*

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES (Applicable if section 2 is ticked)
same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*
Line 2
Line 3 City / Town / Village*
District* Zip / Post Code* ISO 3166 Country Code*

☐ 5. TICK APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)**ADDITIONAL DETAILS RERQUIRED* (Mandatory only if section 2 is ticked)**

ISO 3166 Country Code of Jurisdiction of Residence*
Tax Identification Number or equivalent (If issued by jurisdiction)*
Place / City of Birth* ISO 3166 Country Code of Birth*

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)
Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative
Prefix First Name Middle Name Last Name
Name*
(If KYC number and name are provided, below details of section 6 are optional) el. (Off)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

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

☐ 7. REMARKS (if any) Mobile no. / Email-ID) (Please refer instruction F at the end)**8. APPLICANT DECLARATION**

I heraby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.

I hereby consent to receiving information from Central KYC registry through SMS / Email on the above registered nnmber/email address.

Date :

Place :

XX**Signature / Thumb Impression of Applicant****9. ATTESTATION / FOR OFFICE USE ONLY****Documents Received** ☒ **Certified Copies****KYC & INPERSON VERIFICATION CARRIED OUT BY**

- ☐ PAN Verified
☐ In Person Verification
☐ Verified Against Original Done By

Mr./Mrs.

Registered, Sub-Broker / AP

For, Pragya Securities Pvt. Ltd.

Date : / / 20

INSTITUTION DETAILS

PRAGYA SECURITIES PVT LTD

Code **IN - 1101**



Pragya Securities Pvt Ltd

227 / 228 - Kailas Plaza, V. B. Lane, Ghatkopar (East), Mumbai - 400 075.
Phone : 6728 3333 • Investor Grievance email Id : lgrd@paplonline.com

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

For Individuals

Application No.		DP Internal Reference No		Date					2	0		
DP ID	1	2	0	2	8	1	0	0	Client ID	0	0	

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

Please fill all the details in **BLOCK LETTERS** in English

Holder's Details

Sole / First Holder's Name	PAN											
	UID											
	UCC											
	Exchange Name & ID											
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 mention above.

Type of Account (Please tick whichever is applicable)

Status	Sub--Status
Individual	☐ Individual - Resident / Promoter ☐ Individual HUF / AOP
	☐ Individual - Director / Director's Relative ☐ Individual Margin Trading A/C (Mantra)
	☐ Minor ☐ Others (Specify) _____
NRI	☐ NRI Repatriable / Non Repatriable ☐ NRI-Depository Receipt
	☐ NRI Repatriable Promoter / Non Repatriable Promoter ☐ Others(Specify) _____
Foreign National	☐ Foreign National ☐ Foreign National-Depository Receipts ☐ Others _____

Guardian Details (In case of minor, Photograph of guardian has to be affixed along with minor's photograph.)

Guardian's Name	PAN
Relationship with the Applicant	

I/We instruct the DP to receive each and every credit in my/our Account. (If not marked, the default option would be 'Yes')	Automatic Credit	☐ Yes	☐ No
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Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
-------------------------------	--

Gross Annual Income details	Income Range per annum	☐ Upto Rs. 1 Lac	☐ Rs. 1 Lac to Rs. 5 Lac
	☐ Rs. 5 Lac to Rs. 10 Lac	☐ Rs. 10 Lac to Rs. 25 Lac	☐ More than Rs. 25 Lac

Net worth as on Date				2	0			Rs. _____ (Net worth should not be older than 1 year)
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Occupation	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture
	☐ Retired ☐ Housewife ☐ Student ☐ Others Specify _____

Please tick, if applicable	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
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Any other information	
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— Please Tear Here —

Application No.

Acknowledgment Receipt

Date :-

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

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

Occupation

Depository Participant Seal and Signature

Basic Services Demat A/c	Yes / No	RCESS A/c	Yes / No	Pledge Standing Instruction	Yes / No
Annual Report receive	Physical / Electronic / Both Physical & Electronic			Share E-mail ID with RTA	Yes / No

I / We request you to send Electronic Transaction - cum - Holding Statement at the e-mail ID _____	☐ Yes	☐ No
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Mode of Operation in case of Joint Holders Demat Account :-	☐ Sole Holder
	☐ Jointly
	☐ Anyone or Survivor
Communication Preference	☐ First Holder
	☐ All Holders

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

I / we request to add / Delink Unique Client Code (UCC)	Unique Client Code (UCC)	Exch ID	Segment ID	CM ID	TM ID
		NSE / BSE	ALL/CASH/F&O/CDX	M51075/160	08961/160

Bank Code (9 digit MICR cod)									
Bank Name					Branch				
Bank Address									
City		State		Country		Pin			
Account No.									
Account Type	☐ Saving ☐ Current ☐ Others (Specify) _____								

(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 / munitioned on the document,

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.)]	☐ Yes ☐ No
	easi To register for easi, please visit our website : www.cdslindia.com easi allow a BO to view his ISIN balances, transactions and value of the portfolio online.)	☐ Yes ☐ No

By an Existing demat account holder of Pragya Securities Pvt Ltd														
Introducer's Name														
DP ID	1	2	0	2	8	1	0	0	Client ID	0	0			
Signature of the introducer										Signature of the DP Official				

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature	XX		

**Nomination Form****FORM FOR PROVIDING NOMINATION****PRAGYA SECURITIES PVT LTD**

227 / 228-Kailas Plaza, V. B. Lane, Ghatkopar (East), Mumbai-400 075.

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

Date					2	0	2		UCC		Client ID	1	2	0	2	8	1	0	0	0										
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I/We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s)*

Nomination Details

	Mandatory Details						Additional Details ****	
	Name of Nominee	Share of nominee (%)**	Relation Ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of Nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

* Joint Accounts:

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

Statement Flag

Print	Registration Status	Yes / No
	Nominee Name	Yes / No

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction . of % . shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects')

*** Provide only number : PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances :

Date of Birth (DoB) : please provide, only if the nominee is minor.

Guardian : It is optional for you to provide. If the nominee is minor.

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

☐ Name of nominee(s)

o Nomination : Yes / No

2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to _____ % of assets in the account or Rs. _____ (Optional) (strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us. if any.

3) Signature(s) - As per the mode of holding in demat account(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature(s) of two witnesses*	Name of witness & Address (wherever applicable)*
Sole / First Holder (Mr./Ms.)		X		
Second Holder (Mr./Ms.)		X		
Third Holder (Mr./Ms.)		X		

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
 - o 'Either or Survivor' Accounts - any one of the holders can sign
 - o 'First holder' Accounts - only First holder can sign
 - o 'Jointly' Accounts - all holders have to sign

Transmission aspects

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

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

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

☐ **Nomination Form**

FORM FOR PROVIDING NOMINATION

☐ **Declaration Form for opting out of nomination**

UCC		Client ID	1	2	0	2	8	1	0	0	0	0						
To, Pragya Securities Pvt Ltd 227 / 228-Kailas Plaza, Vallabh Baug Lane, Ghatkopar (East), Mumbai-400 075.																		
Sole / First Holder Name																		
Second Holder Name																		
Third Holder Name																		
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ 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 MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.																		
Name																		
Signature																		
☐																		

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

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date					2	0		
------	--	--	--	--	---	---	--	--

DP ID	1	2	0	2	8	1	0	0	Client ID	0	0						
First Holder's Name																	
Second Holder's Name																	
Third Holder's Name																	

To,
PRAGYA SECURITIES PVT LTD
227 / 228 - Kailas Plaza, V. B. Lane, Ghatkopar (East), Mumbai-400 075.

Dear Sir / Madam

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

☐ **Option 1 :**

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account through I/we have issued a Power of Attorney (POA)/ executed PMS agreement in favour of / with **PRAGYA SECURITIES PVT LTD** (Name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange traders [Settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	XX		

OR

☐ **Option 2 :**

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with **PRAGYA SECURITIES PVT LTD** (Name of attorney / Clearing member / PMS manager) for executing delivery instructions for setting stock exchange traders [Settlement related transaction] effected through such Clearing Member / by PMS manager. However, the Delivery instruction Slip (DIS) Booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	XX		

..... Please Tear Here

Acknowledgment Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET Form :-

DP ID	1	2	0	2	8	1	0	0	Client ID	0	0						
Name of the Sole / First Holder																	
Name of the Second Joint Holder																	
Name of the Third Joint Holder																	

Tariff Applicable to CDSL-BO account

1. All the percentage in the above tariff would be applied on the values of transaction as computed by CDSL.
2. No Extra Charges shall be levied for late instructions. However, instructions received within 24 hrs. of execution date shall be accepted at the sole risk of client.
3. For the corporate accounts, an additional A.M.C. of Rs. 500/- payable to CDSL shall be collected extra.
4. For account under Trader scheme, transaction cum holding statement shall be sent weekly.
5. For account under investor scheme, transaction cum holding statement shall be sent once a fortnight provided there is a transaction.
6. All the above rates depend on the existing CDSL charges and shall be subject to revision by CDSL and/orPSL.
7. The billings of various charges shall be on a monthly basis.
8. Services Tax as applicable shall be levied extra.

	TRADER		INVESTOR
--	--------	--	----------

Client ID :

1	2	0	2	8	1	0	0	0	0						
---	---	---	---	---	---	---	---	---	---	--	--	--	--	--	--

Date					2	0		
------	--	--	--	--	---	---	--	--

Date : _____

Annexure - 2.4

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

Fees :

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function of 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 outline above shall be governed by the laws of india and will be subject to the exclusive jurisdiction of the courts in Mumbai.

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

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

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

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

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

BOID	1	2	0	2	8	1	0	0	Client ID	0	0						
------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--	--

Sale / 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)

XX

Signature

Sole / First Holder

Second Holder

Third Holder

Place : _____

Date : _____

BO ID	1	2	0	2	8	1	0	0	0	0					
-------	---	---	---	---	---	---	---	---	---	---	--	--	--	--	--

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

Statement of account

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

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

Manner of Closure of Demat account

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

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

Liability of the Depository

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

Freezing / Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating instructions.
24. The DP of the depository shall have the right freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that in case of any statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of investor grievance

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

Authorized representative

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

Law and Jurisdiction

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



FATCA & CRS Declaration & Supplementary KYC Information

Declaration Form for Individual

Please consult a tax professional for further guidance regarding your tax residency for FATCA & CRS compliance

PAN OR PAN Exempt KYC Ref No. (PEKRN) _____

Name

Father's Name

Gender ☐ Male ☐ Female ☐ Other Nationality ☐ Indian ☐ U.S. ☐ Others (Please Specify)

Status Resident ☐ NRI ☐ Foreign National ☐ Others (Please specify)

Address Type (for KYC address) ☐ Residential ☐ Residential / Business ☐ Business

Address of tax residence would be taken as available in KYC Registration Agency (KRA) database. In case of any change, please fill up and submit a separate KYC Change Request Form with supporting documents to update the changes

Place of Birth Country of Birth Date of Birth DD/MM/YYYY

Occupation Details (Please tick any one (✓))
☐ Business ☐ Agriculturist ☐ Housewife
☐ Professional ☐ Student ☐ Retired
☐ Public Sector Service ☐ Forex Dealer ☐ Others [Please specify]
☐ Private Sector Service ☐ Government Service

Gross Annual Income in INR ☐ Below 1 Lakh ☐ 1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ 25 Lakh-1crore ☐ > 1 Crore

Net Worth (Optional) INR _____ Lakh Net Worth as of DD/MM/YYYY

Are you a Politically Exposed Person [PEP] → Yes ☐ No ☐ Are you Related to a PEP → Yes ☐ No ☐

Are you a tax resident (i.e. are you assessed for Tax) in any other country outside India? → Yes ☐ No ☐

if YES, please provide the following details for ALL countries (other than India) in which you are a Resident for tax purposes i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

Sr. No.	Country of Tax Residency	Tax Identification Number or Functional Equivalent	Identification Type (TIN or other, please specify)	If TIN is not available, please tick the reason A, B or C (as defined below)
1.				→ Reason A ☐ B ☐ C ☐
2.				→ Reason A ☐ B ☐ C ☐

► Reason A → The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents.

► Reason B → The Account Holder is otherwise unable to obtain a TIN or equivalent number.

(Please explain below why you are unable to obtain a TIN in the table below if you have selected this reason)

1.

2.

► Reason C → No TIN required (Select this reason Only if the authorities of the respective country of tax residence do not require the TIN to be disclosed)

Declaration:

I hereby confirm that the information provided hereinabove is true, correct, and complete to the best of my knowledge and belief and that I shall be responsible to the reporting agency which relies on this information for compliance with FATCA and CRS. I also confirm that I have read and understood the FATCA & CRS Terms and conditions below and hereby accept the same. I hereby authorize you, the Mutual Fund /AMC/RTA/broker/DP or any other intermediary to disclose, share, rely, remit in any form, mode of manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, Brokers/DPS/any other intermediary, their employees / RTAs ('the Authorized Parties') to any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial intelligence Unit-India (FIUIND), the tax / revenue authorities in india or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered intermediaries/and/ or to any other regulated intermediaries registered with any other authorities / regulator/s including RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/tax authorities. I/We authorize the Mutual Fund/AMC/RTA to provide relevant information to upstream payers to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same

Date:

Place:

Signature:

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: 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 with holding 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 (Insert FI's name) 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.

FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your 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.

in case customer has the following indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below.

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	1. Self-certification 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: certified Copy of *Certificate of Loss of Nationality. or 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
Residence/mailling address in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)
Telephone number in a country other than india	<i>If no Indian telephone number is provided</i> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than india; and 2. Documentry evidence (refer list below) <i>If Indian telephone number is provided along with a foreign country telephone number</i> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than india; OR 2. Documentary evidence (refer list below)
Telephone number in a country other than india	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than india; and 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purpose:

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 of the country or territory in which the payee claims to be a resident.**