



Pragya Securities Pvt Ltd

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

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

SARAL Account opening form for Resident Individual Trading in cash segment

1. KYC - Please fill this form in BLOCK LETTERS

IDENTITY DETAILS	
Name of Applicant	
Father's / Spouse's Name	
Gender	☐ Male ☐ Female
Marital Status	☐ Single ☐ Married
Date of Birth	/ /
Nationality	
PAN	
Aadhaar Number, if any	
Proof of Identity submitted	

ADDRESS DETAILS	
Residence / Correspondence Address	
City / Town / Village	
Pin Code / State / Country	
Telephone / Mobile Number	
Fax / Email ID	
Permanent Address, if different	
Permanent Address - City / Pin / State / Country	
Proof of Address submitted	

I hereby 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 information is found to be false, untrue, misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of Applicant	
Date	
Originals verified and self attested copies received	
Name & Signature of Authorised Signatory	
Date / Seal / Stamp of Intermediary	

II. OTHER DETAILS

Bank Name	
Branch Address	
Bank Account Number	
Account Type	☐ Saving ☐ Current
MICR Number	
IFSC Code	
DP Name / Depository	☐ NSDL ☐ CDSL
Beneficiary Name	
DP ID	
BO ID	
DP account to be opened with same intermediary	☐ Yes ☐ No



Signature of Applicant	
Date	



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FOR OFFICE USE ONLY

UCC Code allotted to client	
DP Name / Depository	☐ NSDL ☐ CDSL
Beneficiary Name	
DP ID / BO ID	

CLIENT VERIFICATION DETAILS

Particulars	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of Employee			
Employee Code			
Designation			
Date / Signature			

UNDERTAKING BY THE STOCK BROKER / AUTHORISED SIGNATORY

I / We undertake that we have made the client aware of the 'Policy and Procedures', Tariff Sheet, 'Rights and Obligations' document(s), RDD and Guidance Note and have given/sent a copy of all KYC documents. Any change in the Policy and Procedures or Tariff Sheet will be duly intimated to clients. Changes in the Rights and Obligations and RDD will be made available on our website.

If the client avails the demat facility from the same stock broker who is also a depository participant, the stock broker may use the same form and provide the demat account details while providing a copy of the KYC documents.

Signature of Authorised Signatory	
Date	
Seal / Stamp of Stock Broker	

NOTE

This form is applicable for individual investors trading in the cash segment. Investors wishing to trade in other segments or avail facilities such as internet trading, running account, margin trading or Power of Attorney may furnish additional details as required under the prescribed regulations.



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Additional information to be obtained along with the SARAL Account opening form

To be filled by the Depository Participant

for Resident Individual

Application No.		DP Internal Reference No		Date					2	0		
DP ID								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

I/We would like to instruct the DP to accept all the pledge instruction in my/our account. without any other further instruction from my/our end (If not marked, the default option would be 'No')

☐ Yes

☐ No

Account Statement Requirement

☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly

I/We request you to send Electronic Transaction-cum-Holding statement at the email ID

☐ Yes

☐ No

I / We would like to share the email ID with the RTA

☐ Yes

☐ No

I/We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and electronic (Tick the applicable box. If not marked the default option would be in physical)

I/We wish to receive dividend / interest directly in to my bank account as given in SARAL ADF 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

Other Details

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)	
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)		
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.)	☐ 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

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

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

(Signature should be preferably in black ink.)

**PRAGYA SECURITIES PVT LTD**

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

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)*

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)

o 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%