

Application Form (Please tick relevant boxes):  3 in 1 form  2 in 1 form  1 in 1form  CDSScheme Type      LG Code     LC Code     Company Code      Branch Code    Branch Name                     Branch Inward Stamp &  
Authorised Signatory with  
StampCPU Inward Stamp &  
Authorised Signatory with  
Stamp**INDEX**

Name of the document	Brief Significance of the document	Section	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	PART A	3
	B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	PART A	7
	C. Extended KYC for FATCA/CRS for Entities/Non-Individuals	PART A	9
Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges(including additional rights & obligations in case of internet / wireless technology based trading).	PART B	1
Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	7
Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	PART B	7
Policies and Procedures	Document describing significant policies and procedures of the stockbroker	PART B	14
Tariff sheet	Document detailing the rate/amount of brokerage and other charges\levied on the client for trading on the stock exchange(s).	PART B	19
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
Power of Attorney	Document required for linkage of Bank and demat account for experience of seamless trading in securities	PART A	19
Client registration form - Mutual Fund	Investment in Mutual Fund through Stock Exchanges	PART A	21
Additional Non mandatory Rights & Obligations	Confirmation of Additional Rights and Obligations for seamless trading experience	PART A	2
Running Account Authorisation	Authorisation from client on maintenance of the funds / securities balances on running basis	PART A	2
Other Consent	Consent to receive commercial call and / or sms	PART A	2

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

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

**Correspondence Office Address:** Trade Globe, 2nd Floor, Kondivita, Andheri-Kurla Road, Andheri East. Mumbai-400059.

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

**Compliance Officer Name, Phone No. & Email ID:** Ms. Binkle R. Oza, (022) 3045 3600, complianceofficer@hdfcsec.com**CEO/M.D. Name, Phone No. & Email ID:** Mr. Dhiraj Relli, (022) 6741 9951, md@hdfcsec.com

SEBI Registration No.	INZ000186937 (NSE, BSE, MSEI, MCX)	For any grievance/dispute please contact HDFC Securities Ltd. at the above address or email id-customer@hdfcsec.com and Phone no.: (0+local area code + 3901 9400) and for escalation you may write to us at services@hdfcsec.com.  In case not satisfied with the response, please contact concerned exchanges BSE at is@bseindia.com and Phone no. 022 2272 8097 and NSE at ignse@nse.co.in and Phone No. 022 2659 8190
NSE Trading Member Code	11094	
BSE Clearing No.	393	
MSEI Trading Member Code	30000	
MCX Member Code	56015	
AMFI Reg No.	ARN -13549	
PFRDA Reg. No.	POP 04102015	
IRDA Corporate Agent Licence No.	HDF2806925/HDF C000222657	
Research Analyst Reg. No.	INH000002475	
Investment Adviser	INA000011538	
CIN	U67120MH2000PLC152193	

HDFC Securities is registered as a trading cum clearing member in all exchanges

### RUNNING ACCOUNT AUTHORISATION

I confirm that my account may be maintained on a running account basis, whereby instead of paying any amounts or securities representing mark to market profits, you shall retain, withhold, set-off and / or appropriate the same for such purposes and in such manner as you deem fit and release the funds and / or securities due to me, on my specific request, either written or oral. I am aware that I have the right to amend or revoke this authorisation, at any time, by way of an amendment / revocation letter.

**I confirm that you may settle the account once every calendar**  Quarterly or  Monthly

S1

Authorised Signatory

### OTHER CONSENT

- As a subscriber to the services offered by HDFC securities Ltd. I hereby instruct HDFC securities Ltd. to provide the following communications through the medium of short messages services and / or telephone calls on my registered phone number(s):  
(a) Research and investment ideas whether developed in-house and / or by outsourced agencies; (b) Market related alerts; (c) Offers or subscription to new products / services from time to time; (d) Account and trading related information and other notifications pursuant to the services provided under the captioned agreement; (e) Information relating to investment products and services; (f) Any other service to aid in wealth creation process.

S2

Authorised Signatory

(Do not sign if you not wish to receive commercial calls and / or messages)

### CONSENT FOR ADDITIONAL RIGHTS & OBLIGATIONS

- I acknowledge and declare that I have received in Physical / Electronic, read and understood, acknowledged and agreed to the contents of –
  - the rights and obligations document [PART B-page no. 1],
  - the risk disclosure document [PART B-page no. 7],
  - the policies and procedures [PART B-page no. 14],
  - the additional rights and obligations document [PART C-page no. 1].
  - Payment instruction for charges

A/C opening charges  Currency Derivatives segment charges  Total

Payment Mode	<input type="checkbox"/> Cheque Cheque No. <input type="text"/> Dated <input type="text"/> Bank Name <input type="text"/>
	<input type="checkbox"/> Direct Debit from HDFC Bank A/C no. <input type="text"/>
	<input type="checkbox"/> None

S3

Authorised Signatory

Name:

Date:

Place:

We request you to open a trading account in our name as per the following details:

**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

**IDENTITY DETAILS**

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

NAME OF THE APPLICANT \_\_\_\_\_

DATE OF INCORPORATION \_\_\_\_\_ PLACE OF INCORPORATION \_\_\_\_\_

DATE OF COMMENCEMENT OF BUSINESS \_\_\_\_\_ PAN OF KARTA (In case of HUF) \_\_\_\_\_

PAN (Please attach a copy of PAN card) \_\_\_\_\_

REGISTRATION NO. (e.g. CIN) \_\_\_\_\_

STATUS (Please tick any one)  PVT. LTD. CO.  PUBLIC LTD. CO.  PARTNERSHIP FIRM  TRUST  
 LLP  HUF  CHARITIES  NGOs  FI  
 FII  AOP  BANK  GOVERNMENT BODY  BOI  
 NON GOVERNMENT ORGANISATION  DEFENSE ESTABLISHMENT  SOCIETIES  OTHERS (specify) \_\_\_\_\_

**ADDRESS DETAILS**

**CORRESPONDENCE ADDRESS** (House No./Bldg. No.) \_\_\_\_\_

LANDMARK \_\_\_\_\_

BLOCK NO./STREET \_\_\_\_\_

CITY/TOWN/VILLAGE \_\_\_\_\_ PIN CODE \_\_\_\_\_

STATE \_\_\_\_\_ COUNTRY \_\_\_\_\_

TEL: (R) \_\_\_\_\_ (O) \_\_\_\_\_

FAX \_\_\_\_\_

SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR CORRESPONDENCE ADDRESS: \_\_\_\_\_

**REGISTERED ADDRESS** (Same as Above)  Yes  No House No./Bldg. \_\_\_\_\_

LANDMARK \_\_\_\_\_

BLOCK NO./STREET \_\_\_\_\_

CITY/TOWN/VILLAGE \_\_\_\_\_ PIN CODE \_\_\_\_\_

STATE \_\_\_\_\_ COUNTRY \_\_\_\_\_

SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR REGISTERED ADDRESS: \_\_\_\_\_

**DECLARATION:**

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

First Signatory	Second Signatory	Third Signatory	Fourth Signatory	Fifth Signatory
S4 X Signature of Authorised Signatory	S4 X Signature of Authorised Signatory	S4 X Signature of Authorised Signatory	S4 X Signature of Authorised Signatory	S4 X Signature of Authorised Signatory
Name	Name	Name	Name	Name
DDMMYYYY				
Common Seal	Common Seal	Common Seal	Common Seal	Common Seal

**FOR BANK USE ONLY**

(Originals verified) and Self –Attested Document copies received

**In-Person-Verification (IPV) details:**

Name of the Person doing IPV \_\_\_\_\_ Branch code \_\_\_\_\_

Signature of the Person doing IPV \_\_\_\_\_ Designation & Emp. code \_\_\_\_\_

Name and Signature of Authorised Signatory \_\_\_\_\_ DDMMYYYY  
**Name of the organisation:** HDFC Bank Ltd.

Seal / Stamp of  
HDFC Bank

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. For foreign entities, CIN is optional and in the absence of DIN number for the directors, there passport copy should be given.
7. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.
8. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted
9. Demat master or recent holding statement issued by DP bearing name of the client
10. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
11. Form need to be initialized by all the authorized signatories.
12. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures

Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

Proof of Address (POA): - List of documents admissible as Proof of Address:

(\*Documents having an expiry date should be valid on the date of submission.)

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

Exemptions/clarifications to PAN

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

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

### List of people authorised to attest the documents:

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





**TRADING ACCOUNT RELATED DETAILS****BANK ACCOUNTS DETAILS:**

Bank Name:  Account Type:  Savings  Current  
 Branch Code  or Branch Address   
 Bank A/C No.   
 IFSC Code  MICR Number:

**DEPOSITORY ACCOUNTS DETAILS:**

Depository Participant Name   
 Beneficiary Name:   
 Depository Name (tick one)  NSDL DP ID  Beneficiary ID (BO ID)   
 CDSL Beneficiary ID (BO ID)

**TRADING PREFERENCES:**

\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchange	Cash Market	Future & Options	Currency Derivative
<b>National Stock Exchange (NSE)</b>	S7 <input checked="" type="checkbox"/> Authorised Signatory	S8 <input checked="" type="checkbox"/> Authorised Signatory	S9 <input checked="" type="checkbox"/> Authorised Signatory
<b>Bombay Stock Exchange (BSE)</b>	S10 <input checked="" type="checkbox"/> Authorised Signatory	N.A.	N.A.

# If in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker, Please specify the proof submitted to avail the privileges to trade in derivatives segment:

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

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

Sub-Broker's Name:  SEBI Registration number:   
 R. O. Address:  Phone:  Fax:  Website:   
 Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)  
 Name of Stock Broker:  Name of Sub-Broker, if any:   
 Client Code:  Exchange:   
 Details of disputes/dues pending from/to such stock broker/sub-broker:

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

E-mail ID for ECN

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

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

Other investment related field Any other information:

Any other information:

**OTHER DETAILS** (Please tick in the relevant boxes)

GROSS ANNUAL INCOME DETAILS (Income Range per annum):  1 lakh  1 to 5 lakh  5 to 10 lakh  10 to 25 lakh  
 25 lakh-1 crore  above 1 crore

NET-WORTH as on (date)  ₹  (Net worth should not be older than 1 year)

Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Trustees / whole time directors / KARTA:  
 Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

Any other information:

## INTRODUCER DETAILS (Optional)

Name:

Status:  Sub Broker  Remisier  Authorized Person  Existing Clients  Others, Please specify

Address:

Phone:

I1  
X Signature of Introducer

## NOMINATION DETAILS (for individuals only)

## DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these

documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, i.e www.hdfcsec.com

Place:

S11  
X Authorised Signatory

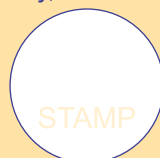
## FOR OFFICE USE ONLY (Details to be filled by person who has done the OSV on the supporting documents)

UCC Code allotted to the Client:

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

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

Date:



X Signature of Bank official



## Extended Declaration For Non-Individual Entities

Date:

Place: \_\_\_\_\_

AOF Number: \_\_\_\_\_

### All Questions from 1 to 5 are mandatory

1. Name of the entity:
2. Customer ID (Applicable for existing customer):
3. a. Country of incorporation: \_\_\_\_\_ b. Place/City of incorporation: \_\_\_\_\_
- c. Date of Commencement of Business
4. a. is the entity a tax resident of any country/ies outside India  Yes (If Yes, please fill Annexure 1)  No
- b. Is the entity incorporated or organized in the United States (including a Trust, if the trustee is a U.S. citizen or resident)  Yes (If Yes, please fill Annexure 1)  No

### 5. Questions relevant for entity FATCA and CRS classification

(Please consult your professional tax advisor for further guidance on tax residency and FATCA& CRS classification)

- a. Is the entity a Governmental entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the above mentioned entity types  Yes  No  
(If yes, please sign the declaration on Page 2; If No, go to next question)
- b. Is the entity a Financial Institution<sup>1</sup> (FI) OR a Direct Reporting NFE  Yes  No  
(If Yes, please fill Annexure 1; If No, please go to next question)
- c. Is the entity a publicly traded corporation/ a related entity of a publicly traded corporation
  - i. Publicly traded corporation  Yes  No  
(If Yes, please specify any one stock exchange upon which the stock is regularly traded)  
Name of the stock exchange \_\_\_\_\_
  - ii. Related entity of a publicly traded corporation  Yes  No  
If Yes, please provide below details:  
Name of the listed company, the stock of which is regularly traded \_\_\_\_\_  
Name of the stock exchange \_\_\_\_\_  
Nature of relation:  Subsidiary of the listed company  Controlled by a listed company or under common control  
(If answer to Q.5(c)(I) or Q.5(c)(ii) above is Yes, please sign the declaration on Page 2; If No, go to next question)
- d. Does the entity have any ultimate beneficial owners (incl. controlling persons) who are tax residents (incl. U.S. citizens/green card holders) of countries other than India  Yes  No  
(If yes, please fill Annexure 1)

**Note:** If the entity is not listed in any of the stock exchange, then please fill Annexure 2 (beneficial ownership declaration) mandatorily.

<sup>1</sup>Including a Foreign Financial Institution

## FATCA-CRS terms & conditions

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 withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with HDFC Bank 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.

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

### Certification

Under penalty of perjury, I/we certify that:

- I/We understand that HDFC Bank is relying on this information for the purpose of determining the status of the account holder named above in compliance with FATCA/CRS. HDFC Bank is not able to offer any tax advice on FATCA or CRS or its impact on the account holder. I/we shall seek advice from professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities, HDFC Bank may also be required to report, reportable details to CBDT or other authorities/agencies or close or suspend my account, as appropriate.
- I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions and definitions in Part C to this Form) and hereby confirm that the information provided by me/us on this Form including the taxpayer identification number is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA Terms and Conditions below and hereby accept the same.

Name:

Designation:

Signature:

Date:         Place: \_\_\_\_\_

### For Bank use only:

Sourcing Branch Name:  Branch Code:

Signature verified and form approved by BDA / BM employee Code :

Employee Name:

Signature  Date:

**Annexure – 1**

**(This Annexure is in continuation to the “Extended Declaration for Entities” and is required to be filled based on responses in the main form)**

**PART A: Details required from all customers filling Annexure 1**

Name of Entity  AOF Number

6. a) Identification Number (please provide any one) {Mandatory}  
Select ID Type

CIN  Global Entity Identification Number  TIN  Other \_\_\_\_\_

Provide the ID Number for above

b) Identification Number issuing country

**Address and Contact Details (Mandatory)**

7. Address for tax purpose:  Same as registered Add  Same as mailing Add

8. Same as mailing Add  Residential or business  Residential  Business Registered Office

**PART B: To be filled as applicable**

9. Details of foreign tax residency and associated TIN (please fill if answer to Q.4(a) or Q.4(b) is YES):

Country/(ies) of tax residency	Tax Identification Number%	Identification Type (TIN or Other%, please specify)

In case Tax Identification Number is not available, kindly provide functional equivalent<sup>2</sup>

10. Is the entity a specified U.S. Person (please fill if answer to Q.4(b) is YES)  Yes  No  
(If No, please mention entity’s exemption code<sup>3</sup>: \_\_\_\_\_)

11. Entity FATCA classification and other details (Mandatory)

11(A) - (to be filled by Financial Institutions or Direct Reporting NFEs)* - please fill if answer to Q.5(b) is YES		
<p>We are a: <input type="checkbox"/> Financial institution<sup>4</sup> OR <input type="checkbox"/> Direct reporting NFE<sup>5</sup> (please tick as appropriate)</p> <p>*If the entity is a Financial Institution and located outside India, please fill 11(B)</p>	<p>GIIN: _____</p> <p>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor’s GIIN above and indicate your sponsor’s name below:</p> <p>Name of sponsoring entity: _____</p>	<p>GIIN not available (please tick as applicable):</p> <p>Following options available only for Financial Institutions:</p> <p><input type="checkbox"/> Applied for</p> <p><input type="checkbox"/> Not required to apply for (Please specify sub-category _____ )</p> <p><input type="checkbox"/> Not obtained</p>

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.

- Refer Part C, 3 (viii)
- Refer 1 (I1 (ii) & 1 (iv) of Part C
- Refer 3(vii) of Part C
- Refer 1A. of Part C

**11(B) - (to be filled by Financial Institution that is a tax resident outside India) (Mandatory)**

1.	Whether the Financial Institution is located in a CRS jurisdiction? <input type="checkbox"/> Yes <input type="checkbox"/> No (Please refer to the list of signatories to CRS given in the following link <a href="http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/">http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/</a> ) (If Yes, Q 2 and Q3 are not required. If No, please go to Qs. 2)
2.	Whether FI is an 'Investment Entity'? <input type="checkbox"/> Yes <input type="checkbox"/> No (Please refer definition 1 (iii) of Part C of the FATCA-CRS declaration) (If yes, please go to Qs. 3)
3.	The entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity and the gross income of the entity is primarily attributable <sup>7</sup> to investing, reinvesting, or trading in financial assets. (If Yes, please additionally fill Annexure 2) <input type="checkbox"/> Yes <input type="checkbox"/> No

**11© - (please fill ANY ONE as appropriate; to be filled by NFEs other than Direct Reporting NFEs)  
- please fill if answer to Q.5(d) is YES**

C1	Is the Entity an active NFE <sup>8</sup>	<input type="checkbox"/> Yes <input type="checkbox"/> No  Please specify the sub-category of Active NFE: _____ (Mention code – refer 2c of Part C)
C2	Is the Entity a passive NFE <sup>9</sup> (If Yes, please fill Annexure 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No

<sup>7</sup>Entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- (i) the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- (ii) the period during which the entity has been in existence.

<sup>8</sup> Refer 2c of Part C

<sup>9</sup> Refer 3(ii) of Part C

**Annexure – 2**  
**Beneficial Owner Declaration (For Company/Partnership/LLP/AOP/BOI/Trust)**

**AOF Number**

1	Name of the controlling person (mandatory)		
2	Entity Type (mandatory)	<input type="checkbox"/> Pub/Pvt Co. <input type="checkbox"/> LLP <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Society <input type="checkbox"/> Club <input type="checkbox"/> HUF <input type="checkbox"/> Bank <input type="checkbox"/> Insurance <input type="checkbox"/> SHG <input type="checkbox"/> Foreign Bodies <input type="checkbox"/> NGO <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Government	
3	Controlling person type code (mandatory)		
4	Date of birth (mandatory)		
5	PAN (optional)		
6	Customer ID (if available)		
7	Percentage of ownership/capital/profits (mandatory)		
8	Place / City of Birth (mandatory)		
9	Country of Birth (mandatory)		
10	Gender (mandatory)	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Third Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Third Gender
11	Marital Status (mandatory)	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others
12	Father's name (mandatory)		
13	Nationality (Please specify country) (mandatory)		
14	Adhaar No (Optional)		
15	Mother's Name (optional)		
16	Maiden Name (if any)		
17	Country of tax residence* (Mandatory)		
18	Tax identification number (or functional equivalent of country other than India) %		
19	Tax identification number type (for country other than India)		
20	Address (Mandatory)		
	Address - City (Mandatory)		
	Address - State (Mandatory)		
Address - Country (Mandatory)			
Address - Pin Code (Mandatory)			

21	Address Type for above (Mandatory)	<input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
22	Mobile Number (Mandatory)		
	Telephone Number (with ISD &STD code)		
24	Occupation Type (Mandatory)	<input type="checkbox"/> S - Service Provider <input type="checkbox"/> O - Others <input type="checkbox"/> B-Business <input type="checkbox"/> X - Not Categorized	<input type="checkbox"/> S - Service Provider <input type="checkbox"/> O - Others <input type="checkbox"/> B-Business <input type="checkbox"/> X - Not Categorized
25	Proof of Identity@ (Mandatory) (Tick relevant and mention the details)	<input type="checkbox"/> Passport No. <input type="checkbox"/> Voter ID No. <input type="checkbox"/> PAN No. <input type="checkbox"/> Driving License No. <input type="checkbox"/> Aadhaar No. <input type="checkbox"/> NREGA Job Card No. <input type="checkbox"/> Any other Government Issued Doc <input type="text"/>  Mention ID no <input type="text"/>  Expiry Date: <input type="text"/>	<input type="checkbox"/> Passport No. <input type="checkbox"/> Voter ID No. <input type="checkbox"/> PAN No. <input type="checkbox"/> Driving License No. <input type="checkbox"/> Aadhaar No. <input type="checkbox"/> NREGA Job Card No. <input type="checkbox"/> Any other Government Issued Doc <input type="text"/>  Mention ID no <input type="text"/>  Expiry Date: <input type="text"/>
26	Proof of Address (Mandatory) (attach self attested proof) (any one) (Please select any one Address proof )	<input type="checkbox"/> Passport No. <input type="checkbox"/> Voter ID No. <input type="checkbox"/> PAN No. <input type="checkbox"/> Driving License No. <input type="checkbox"/> Aadhaar No. <input type="checkbox"/> NREGA Job Card No. <input type="checkbox"/> Any other Government Issued Doc <input type="text"/>	<input type="checkbox"/> Passport No. <input type="checkbox"/> Voter ID No. <input type="checkbox"/> PAN No. <input type="checkbox"/> Driving License No. <input type="checkbox"/> Aadhaar No. <input type="checkbox"/> NREGA Job Card No. <input type="checkbox"/> Any other Government Issued Doc <input type="text"/>
27	Spouse's name (Optional)		

\*To include US, where controlling person is a US citizen or green card holder. Please provide ALL the countries of tax residency and corresponding TINs.

%In case Tax Identification Number is not available, kindly provide functional equivalent @ Permissible values are:

- Passport – (With expiry date)
- Election ID card
- Driving License– (With Expiry Date)
- PAN Card
- UIDAI Letter
- NREGA Job card
- Others

Name of Director/Partner/Member/Trustee

\_\_\_\_\_  
(Signature & seal of any of the Directors/Partners/Members/Trustees)

**Part C: FATCA-CRS Instructions & Definitions**

1 **Financial Institution (FI)** - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

i. **Depository institution:** is an entity that accepts deposits in the ordinary course of banking or similar business.

ii. **Custodial institution** is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of

- a. The three financial years preceding the year in which determination is made; or
- b. The period during which the entity has been in existence, whichever is less.

iii. **Investment entity is any entity:**

- a. That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
  - i. Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
  - ii. Individual and collective portfolio management; or
  - iii. Investing, administering or managing funds, money or financial asset or money on behalf of other persons ;

**or**

- b. The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- i. the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- ii. the period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c. )

In case the entity confirms it is an FI and a tax resident outside India, an additional CRS declaration will need to be filled. Refer Annexure A

iv. **Specified Insurance Company:** Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

**IA FIS not required to apply for GIIN:**

Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Indian trust where the trustee is a reporting FI
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI (if you select this category, please provide Owner Reporting Statement or an Auditor's Letter with required details as mentioned in Form W8 BEN E)

**2 Non-financial entity (NFE) – Any entity that is not a financial institution**

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity of which is regularly traded on an established securities market;

c. Active NFE : (is any one of the following):

Code	Sub-Category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a



	Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	<p><b>Any NFE that fulfills all of the following requirements:</b></p> <p>It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</p> <p>It is exempt from income tax in India;</p> <p>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</p> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</p> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation. - For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <p>(I) an Investor Protection Fund referred to in clause (23EA);</p> <p>(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</p> <p>(III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;</p>

### 3 Other Definitions

(i) Related entity	An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.
(ii) Passive NFE	<p>The term passive NFE means</p> <p>(a) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or</p> <p>(b) an investment entity defined in clause 1(iii)(b) of these instructions which is not located in any of the jurisdictions specified by the Central Board of Direct Taxes in this behalf.</p> <p>(c) not a withholding foreign partnership or withholding foreign trust;</p> <p>(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)</p>
(iii) Passive income	<p>The term passive income includes income by way of :</p> <p>(1) Dividends,</p> <p>(2) Interest</p> <p>(3) Income equivalent to interest,</p> <p>(4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE</p> <p>(5) Annuities</p> <p>(6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income</p> <p>(7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,</p>

- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer’s business as such a dealer.

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide RBI circular no. DBOD.AML.BC.No.71/14.01.001/2012-13 dated January 18, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) (‘BO’). Accordingly, the Beneficial Owner means ‘Natural Person’, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

**A. Controlling Person Type:**

Code	Sub-category
C01	CP of legal person-ownership
C02	CP of legal person-other means
C03	CP of legal person-senior managing official
C04	CP of legal arrangement-trust-settlor
C05	CP of legal arrangement--trust-trustee
C06	CP of legal arrangement--trust-protector
C07	CP of legal arrangement--trust-beneficiary
C08	CP of legal arrangement--trust-other
C09	CP of legal arrangement—Other-settlor equivalent
C10	CP of legal arrangement—Other-trustee equivalent
C11	CP of legal arrangement—Other-protector equivalent
C12	CP of legal arrangement—Other-beneficiary equivalent
C13	CP of legal arrangement—Other-other equivalent
C14	Unknown

- (v) Specified U.S. person— A U.S person other than the following:
  - (a) a corporation the stock of which is regularly traded on one or more established securities markets;
  - (b) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
  - (c) the United States or any wholly owned agency or instrumentality thereof;
  - (d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
  - (e) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;

- (f) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (g) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (h) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (i) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (j) any trust that is exempt from tax under section 664© of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (k) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (l) a broker as defined in section 6045© of the U.S. Internal Revenue Code; or
- (m) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements:

- (A) The FFI is an FFI solely because it is an investment entity;
- (B) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (C) The FFI does not maintain a financial account for any nonparticipating FFI;
- (D) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (E) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 FFI, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

(vii) Direct reporting NFE

A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS

**(viii) Exemption code for U.S. persons**

Code	Sub-Category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan



To  
 1. HDFC Bank Limited: HDFC Bank House, C. S. No. 6/242, Senapati Bapat Marg, Lower Parel, Mumbai 400 013.  
 2. HDFC Securities Limited, I Think Techno Campus, Building - B, "Alpha", Office Floor 8, Kanjurmarg (East), Mumbai - 400 042.

Dear Sirs,  
 Re: Mandatory Rights and Obligations prescribed by SEBI  
 Non- mandatory Additional Rights and Obligations Confirmation dated \_\_\_\_\_, 20\_\_\_\_ ("Additional Rights and Obligations Confirmation") by the Client (as described below) ("Client") in favour of HDFC Securities Limited ("HDFC Securities")

#### Background

The Client is desirous of investing and/ or trading in securities, making investments and entering into various transactions (hereinafter, for the sake of convenience, collectively referred to as "Securities") with or through HDFC Securities and for this purpose the Client has signed the account opening form together with the Mandatory Rights and Obligations prescribed by SEBI and Additional Rights and Obligations Confirmation by the Client in favour of HDFC Securities (hereinafter collectively referred to as the "Account Opening Documentation").

Pursuant to the provisions of the Account Opening Documentation, the Client and the other account holders (described below, if any) (hereinafter collectively referred to as the "Account Holder / Joint Account Holders") have designated the bank accounts and demat accounts which are maintained with HDFC Bank Limited ("HDFC Bank") and are described in the Schedule below as the Associated Accounts for the purposes of the Account Opening Documentation;

The Account Holder is / Joint Account Holders are the holder / holders of one or more of the Associated Accounts as stated in the Schedule below;

Under the terms of the Account Opening Documentation, the Account Holder is / Joint Account Holders are required to execute and deliver a power of attorney to HDFC Bank and instructions to HDFC Bank and HDFC Securities in respect of the Associated Accounts of which they are the holder / holders, which the Account Holder / Joint Account Holders hereby does / do as under:-

#### POWER OF ATTORNEY

1. I/We, the Account Holder / Joint Account Holders, do hereby nominate and appoint HDFC Bank, acting through any of its officers or employees or any sub- agents or delegates, to be my/our true and lawful agents and attorney for me/us and on my/our behalf and in my/our name from time to time, to do and exercise or cause to be done and exercised all or any of the following acts, powers and authorities:

a. To block, hold and/or create / mark a lien, charge or hypothecation on one or more of the Associated Accounts or all or any of the money or securities therein including in the internal systems of the Bank or the systems of the Depository, as HDFC Bank may deem fit and thereafter without any further instructions (this writing constituting my/our instructions to do so) to transfer all the said money and/ or the securities to HDFC Securities or any account(s) of HDFC Securities specified in the schedule hereto or to such other accounts as may be specified on the website of HDFC Securities and by electronic mail or otherwise or in accordance with the instructions of HDFC Securities. b. To transfer any securities or money from any Associated Account(s) to HDFC Securities or any account(s) of HDFC Securities specified in the schedule hereto or to such other accounts as may be specified on the website of HDFC Securities and by electronic mail or otherwise for the following purposes:

(i) towards stock exchange related margin/delivery and/or settlement obligations arising out of trades executed by me/us on the stock exchange through HDFC Securities;

(ii) for recovering any outstanding amount due from me/us arising out of my/our trading activities on the stock exchanges through HDFC Securities;

(iii) for meeting obligations arising out of my/our subscription to securities (whether in my/our name or otherwise) of all kinds, whether listed or unlisted, including units of Unit Trust of India or other mutual funds, government

securities, negotiable instruments, certificates of deposits, participation certificates, commercial paper, bank deposits, money market instruments or such other products / facilities/ services, of the like nature offered by HDFC Securities, from time to time or in connection with any transaction effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation;

(iv) towards monies/ fees/ charges, or the like due to HDFC Bank and/or HDFC Securities payable by virtue of my/ us using/ subscribing to any of the facilities/ services availed by me/ us. Provided that no securities shall be transferred for any 'off market trades'. Provided further, that any funds or securities that have been erroneously transferred to HDFC Securities / received by HDFC Bank, or that HDFC Securities or HDFC Bank were not entitled to receive, shall be re-transferred / returned to the associated account from which they were transferred.

c. To sign, deliver and/or acknowledge all instructions, forms, transfer deeds, depository forms and instruments, cheques, drafts, slips, receipts and other instruments and writings which are required, necessary or advisable for performing all or any of the powers or authorities hereby conferred.

d. To apply for, subscribe to, purchase, redeem and/or sell in any other manner acquire or dispose of securities (whether in the name of the Client or otherwise) of all kinds, whether listed or unlisted, including units of Unit Trust of India or other mutual funds, government securities, negotiable instruments, certificates of deposits, participation certificates, commercial paper, bank deposits, money market instruments or other instruments of like nature. In this power of attorney, the term Securities shall include Securities as defined by the Securities Contracts (Regulation) Act, 1956 as amended from time to time.

e. To receive and hold certificates, title documents, deposit receipts, account statements and other documents and writings pertaining to the securities mentioned above and/or any amount invested, advanced or expended by me/us or on my/our behalf and to acknowledge receipt of the same

f. To enter into derivatives contracts on my/our behalf.

g. To sign and endorse all such application forms, transfer deeds, deposit receipts, redemption requests, depository forms, negotiable and other instruments, contracts and other writings and do all such acts as may be required for all or any of the above purposes or otherwise in connection with any transaction effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation. For this purpose HDFC Bank may act on the basis of any certificate or writing by HDFC Securities that any transaction is effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation and the same will be binding on the Account Holder / Joint Account Holder(s) and any other person relying on this power of attorney.

h. To collect, receive and give effectual receipts and discharges, for any sums payable/ receivable on securities or other documents or items deliverable to the Account Holder / Joint Account Holder(s) and to endorse such dividend and interest warrants.

i. To send a consolidated summary of my/our scrip-wise buy and sell positions taken with average rates by short message service or through email on a daily basis. PROVIDED THAT HDFC Bank shall exercise the powers and authorities conferred under the above power of attorney only pursuant to instructions in that behalf given by the Client, which instructions may be given orally, over the telephone, through the internet, through a kiosk, electronically or in any other manner acceptable to HDFC Bank and such instructions given to HDFC Bank or HDFC Securities shall be admissible in evidence and shall not be questioned by me/us and shall be conclusive and binding against me/us. AND PROVIDED FURTHER THAT the aforesaid powers and authorities may (at HDFC Bank's and/or HDFC Securities' option) be exercised by HDFC Bank on behalf of the Client alone or all or any of the

Joint Account Holders, and any such exercise shall be binding upon the Account Holder / all the Joint Account Holders. AND I/We the Account Holder /

Joint Account Holders do authorize HDFC Bank to, from time to time and without requiring my/our further instructions or consent (this writing constituting my/our consent):-

(i) appoint any sub-agent(s) and/or delegate all or any of the powers granted under the above power of attorney to one or more persons or entities of HDFC Bank's choice on such terms as HDFC Bank may think fit, and

(ii) to remove such sub-agents and withdraw all or any of such delegated powers. PROVIDED THAT in the event of any merger/demerger of HDFC Securities or HDFC Bank with any other entity or into another entity, the Client shall be given a prior intimation of such corporate restructuring, not less than one month in advance of any such restructuring taking effect, which intimation may be inter alia given over the phone, through the website of the companies or electronically.

#### INSTRUCTIONS

2. I/We the Account Holder / Joint Account Holders, do hereby agree and declare that:

i. The Account Holder / Joint Account Holders of any Associated Account(s) shall at all times make available sufficient funds/ securities in the Associated

Account(s) for the purpose of the transactions to be carried out pursuant to the Account Opening Documentation and shall not, without HDFC Securities prior written consent, close an Associated Account or directly or indirectly operate or give instructions in respect of any Associated Account which may prejudice HDFC Securities rights under the Account Opening Documentation or the transactions undertaken thereunder or any power or authority exercisable by HDFC Bank under the above power of attorney or which would be contrary to the provisions of the Account Opening Documentation or any acts by HDFC Bank pursuant to the above power of attorney.

ii. The Account Holder / Joint Account Holders of any Associated Account(s) agree that

(a) instructions given by the Client to HDFC Bank to block funds or securities in or to transfer funds or securities from an Associated Account in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities will be given first priority over any other instructions or cheques (whether prior or subsequent) given or issued by the Account Holder / any Joint Account Holder by itself or through any other attorney,

(b) funds or securities once blocked on the instructions of the Client in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities can be released only with the express written consent of HDFC Securities to HDFC Bank; and

(c) if the Client has given any blocking, holding, debit or other instructions in respect of any securities or money in any Associated Account, in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities, and HDFC Securities receives transfer, debit or other instructions in respect of such securities or money from the Account Holder / any Joint Account Holder or any other person, then HDFC Bank shall first give effect to the first mentioned instructions and shall also transfer the concerned securities and money to HDFC Securities account;

(d) in the event of any instructions being provided to HDFC Bank which could in any manner prejudice any securities blocked by HDFC Bank, HDFC Bank shall be entitled to transfer to its own accord the said blocked securities to HDFC Securities ("Forced Transfer")

iii In case of death, disability, winding up, Dissolution or liquidation of the Account Holder / any Joint Account Holder, HDFC Bank shall be entitled to immediately freeze the Associated Accounts, and the power of attorney, shall be revoked as regards the Account Holder / such Joint Account Holder upon the intimation in writing to HDFC Bank and HDFC Securities of such death, disablement, dissolution, winding up or liquidation by the Account Holder/ Joint Account Holder (as the case may be) or the surviving Joint Account Holder/s (if any) or in the case of a sole Account Holder, by the nominee of the Account Holder or the legal representative of the Account Holder where no nominee has been appointed, and the instructions and agreements contained herein shall be revoked within two days of such intimation.

iv. In the event of any change in the number, nature or securities and/or the ISIN number of the securities (during any period in which any securities are blocked pursuant to the aforesaid power of attorney) as a consequence of any corporate action of the concerned company implemented by the Depository, HDFC Bank shall be entitled to accordingly modify the block created to accommodate the changes in ISIN number, the number/nature/quantity of securities maintaining the block at the same percentage of the share capital of the company concerned as originally blocked.

v. In the event of any overriding instructions of the Depository or any court of law resulting in any unavailability of securities, HDFC Bank shall not be obliged to perform any instructions. Provided that in the event that free and clear securities are available with HDFC Bank even after performance of such overriding instruction(s), HDFC Bank shall be entitled to appropriate the securities on a 'first block' basis; "first block" basis would mean that priority would be given amongst various securities traders/brokers on the basis of the timing and the date of blocking. The person in whose favour the first block is created would be given the first priority in terms of delivery of such free and clear securities.

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

vii. I/We have perused the Account Opening Documentation and consent to the provisions thereof. The aforesaid power of attorney has been granted, the instructions herein have been given and the agreements herein contained have been agreed to by me/us in consideration of the Account Opening Documentation and the mutual rights, covenants and obligations thereunder.

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

3. This power of attorney shall come into force upon its acceptance by HDFC Bank.

I/We the Client and the other account holders have hereby executed this Power of Attorney and instructions at \_\_\_\_\_ on the \_\_\_\_\_

day of 20 \_\_\_\_\_.

Accepted  
For HDFC Bank Limited Date: \_\_\_\_\_

Authorised Signatory Place: \_\_\_\_\_

**ASSOCIATED BANK ACCOUNT DETAILS :-**

HDFC BANK A/C: \_\_\_\_\_

Customer/UCIC ID: \_\_\_\_\_

Account Type: \_\_\_\_\_ Branch \_\_\_\_\_

First Holder Name _____	S12
*Constitution _____	X Signature of 1st holder
Address _____	
Second Holder Name _____	
*Constitution _____	X Signature of 2nd holder
Address _____	
Third Holder Name _____	
*Constitution _____	X Signature of 3rd holder
Address _____	

**ASSOCIATED DEPOSITORY ACCOUNT DETAILS :-**

DP ID: \_\_\_\_\_ CLIENT ID: \_\_\_\_\_

Name of Depository: \_\_\_\_\_

First Holder Name _____	S13
*Constitution _____	X Signature of 1st holder
Address _____	
Second Holder Name _____	
*Constitution _____	X Signature of 2nd holder
Address _____	
Third Holder Name _____	
*Constitution _____	X Signature of 3rd holder
Address _____	

\* CONSTITUTION: Individual / HUF / Company / Body corporate incorporated under the Companies Act, 1956 / a partnership firm registered under the Indian Partnership Act 1932, comprising of \_\_\_\_\_ as partners / Others (Please specify)

**List of HDFC securities Ltd. bank & demat accounts where funds & securities can be moved.**

Bank Name	HDFC BANK LTD.
Account no	
00602030000061, 00602340029392, 00602340029400, 00602340029410, 00602340029427, 00602340029434, 00602340029444, 00602340029451, 00602340029461, 00602340029478, 00602340029488, 00602340029616, 05422320002170, 15772340000727.	

Name of the Depository Participant		HDFC BANK LTD.
NSDL		
DP ID	CLIENT ID	
IN300126	11178642, 11178157, 11248012	
IN300476	41012590, 41012604, 41561832, 41561840, 41561858, 41012612	
IN301549	15199927, 14592379, 18030756, 37528031, 37528040	
CDSL		
DP ID	CLIENT ID	
13012400	00005785, 00004711, 00004724, 00444628, 00475363	

**CLIENT REGISTRATION FORM – MUTUAL FUND****Mutual Fund Service System Facility (MFSS) / BSE StAR MF Client Registration Form**

I/We am/are registered as your client \_\_\_\_\_ with above

mentioned UDN No./ Client Code No \_\_\_\_\_ or the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange) / BSE Ltd.

• I/We am/are interested in availing the MFSS / BSE StAR MF facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS / BSE StAR MF of the Exchange.

For the purpose of availing the MFSS / BSE StAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS / BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date. • I/We are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 (NSE) / December 02, 2009 (BSE) and as may be specified by the Exchange from time to time in this regard. • I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI). • I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. • I/We therefore request you to register me/us as your client for participating in the MFSS / BSE StAR MF. • I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

Thanking you,

For MFSS (NSE)

For BSE StAR MF

Yours faithfully,

S14

X Authorised Signatory

S15

X Authorised Signatory

**Details of terms & conditions for the Investor / Client for using New MFSS facility/ BSE StAR MF platform**

**1. Pre-requisites for becoming Investor / Client for the New MFSS facility/ BSE STAR MF platform**

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS/ the BSE STAR MF.
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant/ the broker who is a Mutual fund Intermediary (MFI) of the New MFSS/ BSE STAR MF platform.
- 1.3. The client has satisfied itself of the capacity of the Participant/MFI to deal in Mutual Fund units and wishes to execute its instruction through the Participant/MFI and the client shall from time to time continue to satisfy itself of such capability of the Participant/MFI before executing transacting through the Participant/MFI.
- 1.4. The Client has approached to the Participant/MFI with the application for availing the New MFSS facility/ BSE STAR MF platform.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants/MFIs.

P. T. O.

## 2. Terms and Conditions

- 2.1 The client shall be bound by circulars/notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL since 2009 onwards and circulars issued thereafter and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the Participant/MFI in writing if there is any change in the information in the client registration form' provided by the client to the Participant/MFI at the time registering as a client for participating in the New MFSS/ STAR MF platform or at any time thereafter.
- 2.3. The client shall submit to the Participant/MFI a completed application form in the manner prescribed format for the purpose of placing an order with the Participant/MFI.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of NSEIL/BSE, SEBI and AMFI.
- 2.7. The Client shall pay to the Participant/MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant/MFI renders to the Client.
- 2.8. The client will furnish information to the Participant/MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of non-performance of the obligation by the Participant/MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL).
- 2.10. In case of any dispute between the Participants/MFIs and the investors arising out of the MFSS facility/ BSE STAR MF platform, NSEIL/BSE and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

### Disclosure

As per SEBI circular: SEBI/IMD/CIR No. 4/168230/09, following are the details of the comparative commission earned by HDFC securities Limited (AMFI Reg. No. 13549) from various fund-houses, whose products are being distributed:

Fund Schemes	Upfront Brokerage/Upfront Commission	Trail year 1	Trail year 2 onwards
Equity and Balanced	0% to 1.5%	0% to 1%	0% to 1%
Index	0% to 1%	0% to 0.75%	0% to 0.75%
ELSS	0% to 2%	0% to 0.75%	0% to 0.75%
Asset Allocation	0% to 1.5%	0% to 1%	0% to 0.1%
Arbitrage Funds	0% to 1%	0% to 1%	0% to 0.50%
Monthly Income Plans	0% to 1.5%	0% to 1%	0% to 0.50%
Gilt	0% to 1%	0% to 1%	0% to 0.50%
Income	0% to 1.5%	0% to 1%	0% to 1%
Short Term	0% to 0.05%	0% to 0.50%	0% to 0.50%
Liquid & Floating Rate	0% to 0.05%	0% to 0.50%	0% to 0.50%

HDFC securities could also get reimbursements towards promotion and marketing related activities conducted by HDFC securities on behalf of AMCs. These reimbursements are event based and the same may or may not be received from AMCs in a particular period. Further, since such activities may be carried out at AMC level, reimbursement amount received cannot be attributed to any specific scheme being offered by such AMC.

This is on a best effort basis and rates are updated as and when actual rates are received from AMCs.

The above Schedule of Commissions is as of 1st August 2009. It is subject to change, without any prior consent and at a sole discretion and agreement between HDFC securities and the respective Mutual Fund houses.

### Declaration I am fully aware that

- ☞ I would need to keep clear balances in my linked Bank/DP accounts for the transaction to be processed.
- ☞ I have understood the terms and conditions attached herewith and agreed to the same.
- ☞ I have understood HDFC securities will place my order on a best effort basis.
- ☞ Mutual Fund investments are subject to market risk, please read the Statement of Additional Information (SAI)/Offer document (OD)/Scheme Information Document (SID) carefully before investing.

Name : \_\_\_\_\_ Place \_\_\_\_\_ Date: \_\_\_\_\_



**Application for Net Banking facility for Companies / Trusts /  
Co-operative Societies / Association of Persons / Clubs**

**DETAILS OF FIRM / AUTHORISED SIGNATORY**

<b>Name of Firm / Entity</b>	:	
<b>Cust ID</b>	:	
<b>Authorised Signatory</b>	:	
<b>Authorised Signatory Cust ID</b>	:	
<b>Authorised Signatory e-mail ID</b>	:	

We refer to the current account opened by us bearing No. \_\_\_\_\_ (“said account”) at \_\_\_\_\_ branch of HDFC Bank Ltd.,

Pursuant to and in partial modification of the authority given by way of Resolution of the Board of Directors / Trustees / Managing Committee to operate the said account, in order to facilitate the operation of the said account, we hereby request HDFC Bank to allow Mr. \_\_\_\_\_ being a Director / Trustee / Authorised Signatory to operate the said account through NetBanking facility (doing so singly) by using the Customer ID and the NetBanking IPIN (password) on the terms and conditions detailed hereunder which have been read and understood by us. We acknowledge that the same are in addition to and not in derogation of the terms and conditions relating to the said account and NetBanking facility.

1. Mr. \_\_\_\_\_ will be solely entitled to receive the customer ID and the NetBanking facility and to acknowledge the same.
2. The customer ID and the IPIN (password) shall be kept totally secret and confidential by him.
3. All transactions carried on in the said account through use of the NetBanking facility shall be binding on the Company / Trust / Co-Operative society / Association of Person / Club and HDFC Bank shall at all times be kept saved and harmless from all actions, claims demands, proceedings, losses, dangers, costs, charges and expenses whatsoever which HDFC Bank may at any time incur, suffer or sustain or to be put to as a consequence of or by reason of or arising out of transactions carried out through the NetBanking facility.
4. HDFC Bank shall at all times be informed of any changes in the operating instructions for NetBanking facility by furnishing necessary documents and writing and in such event to change the Net Banking password forewith.
5. HDFC Bank shall not be responsible and liable to monitor the nature of expenses incurred by the use of the said NetBanking facility.
6. All the provision of the Foreign Exchange Management Act, 1999 and the Rules made thereunder and the regulations of the Reserve Bank of India relating to foreign exchange, in force from time to time shall be complied with by us.

We have read and understood the Terms and Conditions (a copy of which is in our possession) relating to NetBanking facility. We accept and agree to be bound by the said Terms and Conditions. We agree that the Bank may debit the said account for service charges as applicable from time to time.

SIGNATURE

Signed at \_\_\_\_\_ (Place)

By \_\_\_\_\_ (Authorised Signatory) of \_\_\_\_\_ (Name)

**FOR BANK USE ONLY**

**Branch :** \_\_\_\_\_

**Signature verified by** \_\_\_\_\_ **Account No. verified by** \_\_\_\_\_

**Date NetBanking password generated** \_\_\_\_\_

**Note :** Please attach resolution in the format given overleaf

## APPLICATION FOR NETBANKING FOR HINDU UNDIVIDED FAMILY (HUF)

### Details of HUF/Karta

HUF Name	
HUF Cust ID	
Karta Name	
Karta's Cust ID	

Karta's e-mail ID: \_\_\_\_\_

I refer to the current/savings account opened by you in the name of \_\_\_\_\_ Hindu Undivided Family (HUF) operated by me as the Karta of the HUF, ("said account") Pursuant to the authority given to me by all the adult coparceners for self and on behalf of all the minor members of the HUF, in order to facilitate the operation of the said account, I hereby request HDFC Bank to allow me as the Karta of the HUF to operate the said account through NetBanking facility by using the Customer ID and the NetBanking IPIN (password), on the terms and conditions detailed hereunder which have been read and understood by me, in addition to and not in derogation of the terms and conditions relating to the said account and NetBanking facility. 1. As the Karta of the HUF and having the authority to operate the said account from all the adult coparceners, I will be solely entitled to receive the customer ID and the NetBanking IPIN (password) to access the NetBanking facility and to acknowledge the same. 2. The Customer ID and the IPIN (password) shall be kept totally secret and confidential by me. 3. All transactions carried on in the said account through use of the NetBanking facility shall be binding on all the members of the HUF and I shall keep HDFC Bank saved and harmless from all actions, claims, demands, proceedings, losses, damages, costs, charges and expenses whatsoever with HDFC Bank may at any time incur, suffer or sustain to be put to as a consequence of or by reason of or arising out of transactions carried out through the NetBanking facility. 4. HDFC Bank shall at all times be informed of any changes in the constitution of the HUF by furnishing necessary documents and writings. 5. HDFC Bank shall not be responsible and liable to monitor the nature of expenses incurred by the use of the said NetBanking facility. 6. To comply with the provisions of the Foreign Exchange Management Act, 1999 and the regulations of the Reserve Bank of India relating to foreign exchange in force from time to time. 7. This writing shall be enforceable against myself or any succeeding Karta of the HUF or against any and all the adult coparceners of the HUF and shall not be affected by any change in the constitution of the HUF and shall be binding on the HUF, its estate effects and successors.

**Declaration:**

I have read and understood the Terms and Conditions (a copy of which I am in possession of) relating to the NetBanking facility. I accept and agree to be bound by the said Terms and Conditions. I agree that the Bank may debit the HUF account for service charges as applicable from time to time.

SIGNATURE \_\_\_\_\_ (Place) By \_\_\_\_\_  
 Signed at \_\_\_\_\_ as the Karta (Name) of \_\_\_\_\_ HUF  
 (Name) X Signature of Client

FOR BANK USE ONLY BRANCH \_\_\_\_\_ SIGNATURE VERIFIED BY \_\_\_\_\_

ACCOUNT NO. VERIFIED BY \_\_\_\_\_ DATE NETBANKING PASSWORD GENERATED \_\_\_\_\_

**HUF DECLARATION FORMAT FOR HUF ONLY (If applicable)**

Name of HUF (A)	<input type="text"/>	As our HUF wishes to open an account with the HDFC Bank Limited / HDFC Securities Limited. in the name as mentioned in (A). We beg to say that the first signatory to this letter as mentioned in (B) is the KARTA of the Joint Family and other signatories are the adult Co-Parceners (C) of the said family. We further confirm that the business of the said joint family is carried on mainly by the said KARTA as also by the other signatories hereto in the interest and for the benefit of the entire body of Co-Parceners of the joint family. We all undertake that claims due to the bank from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the KARTA, including the share of the minor Co-Parceners. In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952. We have not got our said firm registered under the said act. We hereby undertake to inform the HDFC Bank Limited / HDFC Securities Limited of the death or birth of a Co-Parcener of any change occurring at any time in the membership of our joint family during the continuity of the account.
Name of KARTA (B)	<input type="text"/>	
PAN of KARTA	<input type="text"/>	
Contact No. of KARTA	<input type="text"/>	
Email ID of KARTA	<input type="text"/>	

S17  
 Signature of Client

Particulars of Coparcener (C)	Coparcener 1 (Mandatory)	Coparcener 2	Coparcener 3
Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth	<input type="text" value="D D M M Y Y Y Y"/>	<input type="text" value="D D M M Y Y Y Y"/>	<input type="text" value="D D M M Y Y Y Y"/>
Relationship	<input type="text"/>	<input type="text"/>	<input type="text"/>
Age	<input type="text"/> Yrs.	<input type="text"/> Yrs.	<input type="text"/> Yrs.
PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>
Address	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tel. No.	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mobile	<input type="text"/>	<input type="text"/>	<input type="text"/>
Email ID	<input type="text"/>	<input type="text"/>	<input type="text"/>
UID	<input type="text"/>	<input type="text"/>	<input type="text"/>
Signatures	<input type="text"/>	<input type="text"/>	<input type="text"/>

Name & dates of birth of Minor Co-parceners

1. _____	____/____/____
2. _____	____/____/____
3. _____	____/____/____
4. _____	____/____/____
5. _____	____/____/____

## BOARD RESOLUTION

Certified true copy of the resolution passed at the meeting of the **Board of Directors / Trustees (in case of Company / Trust) , Managing Committee of Club / AOP / Society** held on.....(day).....(date)..... at ..... (place).

The **Board / Trustees / Managing Committee** took up for discussion a proposal for availing e-broking and net banking facility provided by HDFC Securities Ltd & HDFC Bank Limited respectively. The Chairman informed the Board/Trustees / Managing Committee that the **Company / Trust / Club / AOP / Society** already has a depository account as well as current account with HDFC Bank and it would be in the interest of the **Company / Trust / Club / AOP / Society** to avail the aforesaid facilities of e-broking and net banking offered by HDFC Securities Limited & HDFC Bank Limited.

The Chairman further informed the **Board / Trustees / Managing Committee** that upon registering with HDFC Bank Ltd. for net banking and HDFC Securities Ltd. for e-broking, the Bank enables the Customer ID of a single authorized signatory of the **Company / Trust / Club / AOP / Society** through which the account of the **Company / Trust / Club / AOP / Society** can be accessed and operated. The Chairman further stated that since this Customer ID gives an access and authority to operate the **Company's / Trust's / Club's / AOP's / Society's** current and depository account, it would be immensely important for the **Company / Trust / Club / AOP / Society** to restrict its use only to a single Authorised Signatory of the aforesaid current and depository account. The Chairman emphasized that the **Company / Trust / Club / AOP / Society** needs to have adequate safeguards for avoiding the misuse of the Customer ID/User Id and password provided by HDFC Bank Ltd. and HDFC Securities Ltd. and informed the **Board / Trustees / Managing Committee** that HDFC Bank Ltd. and HDFC Securities Ltd. shall not be held responsible or liable in any manner in case of any misuse / misappropriation of the same.

The Chairman also explained the **Board / Trustees / Managing Committee** the benefits of availing net banking facility provided by HDFC Bank Ltd. in respect of the current account of the **Company / Trust / Club / AOP / Society** bearing no..... with its branch at .....

The **Board / Trustees / Managing Committee** after discussion decided to avail the e-broking facility as well as net banking facility provided by HDFC Securities Ltd and HDFC Bank Ltd. and passed following resolutions:

“RESOLVED THAT the consent of the **Board/ Trustees / Managing Committee** be and is hereby given for 1) for opening and availing the e-broking facility provided by HDFC Securities Ltd. and also

2) availing the net banking facility in respect of a current account No.....of the **Company / Trust / Club / AOP / Society** maintained with HDFC Bank Ltd. at it's.....branch

RESOLVED FURTHER THAT the following official of the **Company / Trust / Club / AOP / Society**, who is also an authorized signatory for the current and depository account maintained by the **Company / Trust / Club / AOP / Society** with the Bank be and is hereby authorized to use the Customer ID/User Id and password to be allotted by HDFC Bank Limited and HDFC Securities Limited for the aforesaid e-broking facility; (name) ..... Customer ID.....

RESOLVED FURTHER THAT the Customer ID allotted by HDFC Bank Ltd. to the said authorized signatory of the **Company / Trust / Club / AOP / Society** and the Username and password allotted by HDFC Securities Limited given for operating the e-broking account be kept secret and confidential and shall not be disclosed to anyone other than the authorized signatory and the **Company / Trust / Club / AOP / Society** shall be solely responsible for the safe custody and proper and/or bonafide use of the same.

RESOLVED FURTHER THAT the consent of the **Board / Trustees / Managing Committee** be and is hereby given to agree, accept and comply all the terms and conditions contained in DP on net form (more particularly to clause 2.1 of the said terms and conditions) and also the terms and conditions contained in the Power of Attorney and the client agreement / rights and obligations which forms part of the application form.

RESOLVED FURTHER THAT Mr/Ms.....(designation) be and is hereby authorized to apply to HDFC Bank Limited and HDFC Securities limited for an on behalf of the **Company / Trust / Club / AOP / Society** and to operate the aforesaid account through net banking and e-broking.

RESOLVED FURTHER THAT Mr/Ms .....and Mr/Ms ..... be and hereby severally / jointly authorized to sign all the necessary forms, deeds, applications, Indemnity Bonds, Affidavit, Power(s) of Attorney, returns and any other document as may be directed by the Bank and to affix the Common Seal, if required, in accordance with the Articles of **Association / Rules / Bye Laws of the Company(applicable only in case of company) / Trust / Club / AOP / Society** and to furnish a copy of this resolution to HDFC Bank Limited and HDFC Securities Ltd and to do all such acts, deeds and things as may be necessary to give effect to this resolution.”

For.....  
Company Secretary / Director(s)/Trustee / Authorised Signatory

Seal / Stamp of  
Company

\*Please strike out the bold words which are not applicable depending upon the nature of legal entity. (Company / Trust / Club / AOP / Society) and the authority passing the same (Board / Members).

## Letter/Authorization of the Partnership Firm (on letterhead)

It is hereby declared that the partnership firm is having a demat account with HDFC Bank Ltd. which is in the name of following partners,

Client Id \_\_\_\_\_ DP ID \_\_\_\_\_

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

Further, we do not have any objection to link the said demat account with the trading account of the partnership firm. We also hereby agree to make an application for opening and availing the e-broking facility provided by HDFC Bank Limited (hereinafter referred to as "the Bank") and HDFC Securities Ltd.

It is also declared that the following official of the firm, who is also an authorized signatory for the depository account maintained by the firm with the Bank be and is hereby authorized to use the Customer ID to be allotted by the Bank for the aforesaid e-broking facility:

Mr. \_\_\_\_\_ Customer ID \_\_\_\_\_

**We declare that** Mr. \_\_\_\_\_

\_\_\_\_\_ and / or Mr. \_\_\_\_\_

be and are hereby severally/jointly authorised to sign all the necessary forms, deeds, applications, Indemnity Bonds, Affidavit, Power of Attorney/s, returns and any other document as may be directed by HDFC Securities Ltd.

**For**

Signatures of Partners

SPECIMEN

### For Online Broking Corporate A/c: PVT. LTD. / PUBLIC LTD.

- Corporate Trading A/c can be opened only after the Demat A/c has been opened (cannot be sent together).

#### DOCUMENTS

1. Certified True copy of Certificate of Incorporation with Registrar of Companies stamp. Name on PAN and Incorporation Certificate has to be identical.
2. Commencement Certificate is required only for a Limited Company.
3. Certified True copy of Memorandum (MOA) and Articles of Association (AOA) to be obtained. Enabling clause (permitting the company to invest/trade in shares and securities) in the MOA to be highlighted/ticked. If MOA/AOA is not original copy (unbound), then each page has to be attested by the authorized signatory.
4. Copies of Audited Balance Sheet & P/L for the last 2 financial years to be submitted (Copies of the Annual Balance sheet to be submitted every year). If company is newly formed then letter to be taken declaring the same and non-availability of Financials.
5. Photograph, POI, POA, PAN and DIN numbers of wholetime directors/2 directors in charge of day to day operations.
6. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
7. Attested (with authorized signatory stamp) copy of Pan Card and Address proof of all authorized signatories required.
8. Copy of a cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR code or/and IFSC code of the bank should be submitted.
9. In case the name of Director/s differs from the name given in MOA/AOA, then copy of Form 32 (with ROC Acknowledgment) or Form 20B (with ROC Acknowledgment) is required.
10. Minimum 1 director and maximum 12 directors can be authorized signatories to open a corporate account. Extra copies of application form - authorized persons details pages, authorised signatory - photo pages and POA schedule pages need to be attached.
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/Whole time director/MD (to be submitted every year).
12. Authorised signatories list with specimen signatures. (on letterhead)
13. KYC details of individuals/entity holding 25% of shares or capital.
14. Annexure I required

#### Resolutions

14. Board Resolution on letterhead (as per format provided). To be signed by the directors (director cannot authorize himself). Authorized signatory's Cust ID in Company's Current A/c is to be mentioned in the resolution. Board Resolution has to be dated.
15. Affix Company seal / Round stamp on all the above.
16. Company can nominate any one of the authorised signatory for providing financial rights through net banking.

### For Online Broking Corporate A/c : PARTNERSHIP FIRM

Partnership firm has to be registered. Partnership Trading A/c can be opened only after the Demat A/c has opened (cannot be sent together).

#### Documents

1. Form 'A' OR whatever name called – which specifies the details of partner submitted at the time of registration of firm to be submitted.
2. Registration Certificate is mandatory while applying for account opening
3. Certified True copy of Partnership deed required. Enabling clause (permitting the firm to invest/trade in shares and securities) in the Deed to be highlighted/ticked.
4. Photograph, POI, POA, PAN of Partners.
5. Audited Balance sheet & P/L of last 2 years required. Signed by authorised signatory on both pages (to be submitted every year)
6. Copy of a cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR code or/and IFSC code of the bank should be submitted.
7. If Letterhead is computer generated (printout), company round stamp is required on it.
8. Authorised signatories list with specimen signatures. (on letterhead) Resolutions
9. Board resolution on letterhead as per format provided. To be signed by partners.
10. Authorization from partners to authorize any of the partners for operating the trading account with HDFC Securities Ltd.
11. KYC details of individuals/entity holding 15% of capital or profits.
12. Annexure I required

### For Online Broking Corporate A/c : TRUST

#### Documents

Trust has to be REGISTERED (Mandatory).

1. Trust Deed and Registration Certificate is compulsory. Enabling clause (permitting the company to invest/trade in shares and securities) in the Deed to be highlighted/ticked.
2. Details for all trustees/authorised signatories as per the Trust Deed.
3. Resolution of Trustees for opening a Trading Account and approving participation in equity/derivatives/debt trading through HDFC Securities Ltd. and naming authorized person dealing in securities is required.
4. Photograph, POI, POA, PAN of Trustees

5. Audited Balance sheet & P/L of last 2 years required. To be signed by any one authorised signatory on both pages (to be submitted every year)
6. Copy of a cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR code or/and IFSC code of the bank should be submitted.
7. If Letterhead is computer generated (printout), trust round stamp is required on it.
8. Board resolution on letterhead as per format provided. To be signed by trustees
9. List of trustees certified by managing trustees / CA
10. KYC details of settler of trust, KYC details of protector, KYC details of individuals/entity holding 15% of interest in the trust.
11. Annexure I required

#### Unincorporated association / (AOP) or a body of individuals

- Proof of Existence/Constitution document.
- Resolution of the managing body & Power of Attorney granted to transact business on its behalf.
- Authorized signatories list with specimen signatures.
- KYC details of individuals/entity holding 15% of capital or profits and KYC details of senior managing official.
- Annexure I required

#### Banks/Institutional Investors

- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.
- Authorized signatories list with specimen signatures.
- Annexure I required

#### Foreign Institutional Investors (FII)

- Copy of SEBI registration certificate.
- Authorized signatories list with specimen signatures.
- Annexure I required

#### Army/ Government Bodies

- Self-certification on letterhead.
- Authorized signatories list with specimen signatures.
- Annexure I required

#### Registered Society

- Copy of Registration Certificate under Societies Registration Act.
- List of Managing Committee members along with Photo / POI / PAN of members required.
- Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
- True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.
- Copy of a cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR code or/and IFSC code of the bank should be submitted
- Annexure I required

#### For LLP

- Limited Liability partnership agreement and certificate of registration issued to the LLP required.
- Authorized signatories list with specimen signatures.
- Copy of the balance sheets of LLP for the last 2 financial years (to be submitted every year).
- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of the LLP and their specimen signatures.
- Authorization from partners to authorize any of the partners for operating the trading account with HDFC Securities Ltd.
- Copy of PAN card
- Copy of Address proof
- Photograph, POI, POA, PAN of Partners. Photographs of the partners should be affixed on the annexure page only.
- The DIN / Designated Partner Identification Number should be obtained Demat master or recent holding statement issued by DP bearing name of the client
- Net-worth along with the Gross Annual Income is mandatory for non-individuals as per SEBI guidelines.
- Form need to be initialized by all the authorized signatories
- KYC details of individuals/entity holding 15% of shares or capital.
- Annexure I required

#### For HUF

- Copy of PAN card of HUF
- In case of HUF, Karta should sign with HUF stamp in relevant signature boxes and all the supporting documents.
- Deed of declaration of HUF/List of coparceners
- Photograph, POI, POA, PAN of Karta
- Bank passbook/statement in the name of HUF
- Annexure I required

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

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

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

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

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