

Application Form (Please tick relevant boxes):

 3 in 1 form 2 in 1 form 1 in 1 form CDS

Scheme Type

LG Code

LC Code

Company Code

Branch Code

Branch Name

Branch Inward Stamp &  
Authorised Signatory with  
Stamp

CPU Inward Stamp &  
Authorised Signatory with  
Stamp

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

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

**Correspondence Office Address:** 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 11092018	
IRDA Corporate Agent Licence No.	CA0062	
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

X Signature of Client

### 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 and / or Whatsapp messages 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 aide in wealth creation process.

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

S2

X Signature of Client

### CONSENT FOR ADDITIONAL RIGHTS & OBLIGATIONS / TARIFF SHEET

- I acknowledge and declare that I have received in Physical / Electronic, read and understood, acknowledged and agreed to the contents of –

- |  |   |
|--|---|
| 1.the rights and obligations document [PART B-page no. 1], | 4.the additional rights and obligations document [PART C-page no. 1]. |
| 2.the risk disclosure document [PART B-page no. 7],        |   |
| 3.the policies and procedures [PART B-page no. 14],        | 5.Payment instruction for charges                                     |

A/C opening charges  Currency Derivatives segment charges  Total

**Do not Sign This Form if its Blank. Please Ensure all relevant sections and documents are completely filled to your satisfaction and then only sign the form**

Payment Mode  Direct Debit from my linked HDFC Bank A/C  
 None

S3

X Signature of Client

Name:

Date:         Place:

### CONSENT FOR MARGIN TRADING FACILITY (MTF)

I/we wish to avail the Margin Trading Facility (MTF). I/We confirm that I/we have received, read and understood, acknowledged and agreed to the Margin Trading Facility (MTF) Rights and Obligations as provided by HDFC Securities in PART C of the account opening document.

S4

X Signature of Client

**Part - (A) IDENTITY DETAILS** Please fill this form in ENGLISH and in BLOCK LETTERS and Strike off whichever is not applicable.

Prefix  Mr.  Ms.  Others     Existing Customer  Yes  No

Applicant name\*  F I R S T N A M E  M I D D L E N A M E  L A S T N A M E

Father / Spouse's name

Gender  Male  Female Marital status  Single  Married

Date of birth  D  D  M  M  Y  Y  Y  Y

PAN No.  Evidence / Documents provided in case of PAN exemption

(Mandatory for Demat/ISA)

Aadhaar No.  X  X  X  X  X  X

Status  Resident Individual  Non Resident  Foreign National

Nationality  Indian  Other, please specify

Specify the proof of identity submitted  PAN  Any other (Please specify)  Valid till  D  D  M  M  Y  Y

**S5** (Signature across the photograph)

Please affix your recent passport size photograph

**Part - (B) ADDRESS AND CONTACT DETAILS**

Below mentioned address is my  Present Residence Address  Office Address **Mandatory : Please attach Self Attested Proof of below address**

Residence / Correspondence Address

Landmark (Mandatory)

City / Town / Village  PIN (Mandatory)

State  Yrs at current city  Y  Y  M  M Residence  Y  Y  M  M

Country  India  Other

Specify the proof of address submitted for Residence / Correspondence address  Valid till  D  D  M  M  Y  Y

**Contact details** Country code  STD / Area code  Number  Extn.

Tel. (Off.)  -  -  -

Tel. (Res.)  -  -  Country code  Number

Fax  -  Mobile  -

E-mail ID (Mandatory)  I N C A P I T A L L E T T E R S O N L Y

Please tick if permanent address is the same as above address

**Permanent Address**

Landmark (Mandatory)

City / Town / Village  PIN (Mandatory)

State

Country  India  Other

Tel. (Res.)  9 1 -  S T D  N U M B E R  Mobile no.  9 1

Mandatory to be filled if different from above

Mandatory for Non Resident Applicant to specify overseas address

**Part - (C) DECLARATION**

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

(Originals verified) and Self -Attested Document copies received

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

Name of the Person doing IPV

Signature of the Person doing IPV

Designation & Emp. code

Branch code

D  D  M  M  Y  Y  Y  Y

Name of the organisation: HDFC Bank Ltd.

Name and Signature of Authorised Signatory

Signature of the applicant

**S6**

D  D  M  M  Y  Y  Y  Y Place

**Note:**

- If customer provides the KRA registered letter the documents for KYC shall not be taken from the customer.
- The KYC form shall be filled for all the holder's of the account
- \* For HSL Trading Account - Name of the customer will be considered as name available in income tax database

**FOREIGN ACCOUNT TAX COMPLIANCE ACT DETAILS (FATCA)**

	Country of Birth	TAX Reference number
<input type="checkbox"/> Please confirm if India other than India (In case of NRI, please fill the details)	1st Holder	
	2nd Holder	
<input type="checkbox"/> Please tick in case Not Applicable	3rd Holder	
	Guardian	

	Are you tax resident of any other country other than India	Are you a Green Card Holder	In case of multiple Citizenship / Nationality (Please mention Country Names below)
1st Holder	<input type="checkbox"/> Yes of US <input type="checkbox"/> Yes of _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	Country 1: _____ Country 2: _____
2nd Holder	<input type="checkbox"/> Yes of US <input type="checkbox"/> Yes of _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	Country 1: _____ Country 2: _____
3rd Holder	<input type="checkbox"/> Yes of US <input type="checkbox"/> Yes of _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	Country 1: _____ Country 2: _____
Guardian	<input type="checkbox"/> Yes of US <input type="checkbox"/> Yes of _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	Country 1: _____ Country 2: _____

**Declaration**  
 • I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates  
 • I hereby confirm that I have read and understood the below-mentioned instructions. I also confirm that the information provided above is true and accurate.

**Financial Details (Please Specify)**

FIRST HOLDER'S DETAILS	SECOND HOLDER'S DETAILS	THIRD HOLDER'S DETAILS
*Gross annual income(₹) <input type="checkbox"/> Below Rs. 1 lac <input type="checkbox"/> Rs. 1 to 5 lac <input type="checkbox"/> Rs. 5 to 10 lac <input type="checkbox"/> Rs. 10 to 25 lac <input type="checkbox"/> More than Rs. 25 lac (Income range per annum) OR Net worth (₹) _____ as on date DD MM YYYY <b>Net worth should not be older than one year</b>	*Gross annual income(₹) <input type="checkbox"/> Below Rs. 1 lac <input type="checkbox"/> Rs. 1 to 5 lac <input type="checkbox"/> Rs. 5 to 10 lac <input type="checkbox"/> Rs. 10 to 25 lac <input type="checkbox"/> More than Rs. 25 lac (Income range per annum) OR Net worth (₹) _____ as on date DD MM YYYY <b>Net worth should not be older than one year</b>	*Gross annual income(₹) <input type="checkbox"/> Below Rs. 1 lac <input type="checkbox"/> Rs. 1 to 5 lac <input type="checkbox"/> Rs. 5 to 10 lac <input type="checkbox"/> Rs. 10 to 25 lac <input type="checkbox"/> More than Rs. 25 lac (Income range per annum) OR Net worth (₹) _____ as on date DD MM YYYY <b>Net worth should not be older than one year</b>
Occupation details (please tick any one below and give brief details) <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (please specify) _____	Occupation details (please tick any one below and give brief details) <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (please specify) _____	Occupation details (please tick any one below and give brief details) <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (please specify) _____
Brief Details _____ Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	Brief Details _____ Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	Brief Details _____ Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)

**Acknowledgment / Consent For Additional Rights & Obligations - Individual Customer**

- I acknowledge and declare that I have received, read, understood and agree to the contents of :  
 1. Rights and obligations of beneficial owner and Depository participant as prescribed by SEBI and Depositories;  
 2. Demat Standard tariff sheet 3. Financial Details 4. FATCA Declaration 5. Aadhaar

1st Holder's Name: _____ Date: _____ Place: _____	(Signatures of all the holders are required) S7 (Signature of 1st Holder) S7 (Signature of 2nd Holder) S7 (Signature of 3rd Holder)
2nd Holder's Name: _____ Date: _____ Place: _____	
3rd Holder's Name: _____ Date: _____ Place: _____	

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

Please note that you may receive more than one request for information if you have multiple relationships with different members of the HDFC Group. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

**Debit Authorisation:** I/We hereby authorize the Bank to debit all types of Bank charges / commission / fees ("Service Charges") payable by me / us to the said Accounts. I/We undertake that sufficient balances shall be maintained by me/us in the said Accounts to facilitate the debiting of Service Charges. The failure on part of me / us to maintain sufficient balance in the said Account shall not in any way impair the right of the Bank to debit the Service Charges. I/We hereby further authorise the bank to charge any interest on debit balance in the said Accounts due to the debiting of Service Charges, and/or recover the charges from any other account maintained by me/us with HDFC Bank Ltd. The Bank shall not be obliged to provide overdraft facility on the said Account but for towards the debiting of Service Charges payable by me/us. I/We specifically agree and confirm that any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws and shall be subject to the jurisdiction of the courts of Mumbai in India. I/We hereby confirm the bank shall have a lien and right of set off on all monies belonging to me / us standing to my / our credit in any account whatsoever with the bank and authorize the bank without reference to me / us to appropriate the same towards satisfaction of the service charges or any other charges due and payable by me / us.

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

CPU Inward Stamp & Authorised Signatory with Stamp

Branch Inward Stamp & Authorised Signatory with Stamp

Please tick mandatorily  NSDL (DP ID - IN301549, IN300126)  CDSL (DP ID - 13012400) LG Code \_\_\_\_\_ LC Code \_\_\_\_\_

BANK USE

Date 

D	D	M	M	Y	Y
---	---	---	---	---	---

 Internal Ref. No. \_\_\_\_\_ No. of Holders \_\_\_\_\_ Any other information \_\_\_\_\_  
Source channel \_\_\_\_\_ DP ID \_\_\_\_\_ Client ID \_\_\_\_\_ **To be filled by DP**

**Part - B (1) DEMAT ACCOUNT OPENING DETAILS**

I/We request you to open a depository account in my/our name as per the following details **(Please tick one)**

Ordinary Resident  NRI - Repatriable  NRI - Non - Repatriable  Foreign National  Promoter  Margin Account  
 Qualified Foreign Investor  Others (pls specify) \_\_\_\_\_

**Part - B (2) DETAILS OF ACCOUNT HOLDER(S)** (Please fill all the details in CAPITAL LETTERS only)

Sole / First Holder	F	I	R	S	T	N	A	M	E	M	I	D	D	L	E	N	A	M	E	L	A	S	T	N	A	M	E
Second Holder	F	I	R	S	T	N	A	M	E	M	I	D	D	L	E	N	A	M	E	L	A	S	T	N	A	M	E
Third Holder	F	I	R	S	T	N	A	M	E	M	I	D	D	L	E	N	A	M	E	L	A	S	T	N	A	M	E

For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

Name \_\_\_\_\_  
PAN Number \_\_\_\_\_

Account to be operated through Power of Attorney (POA) (Default is, No)  Yes  No **SMS alert is mandatory if you are giving POA**

**Part - B (3) UCIC ID AND PAN NUMBER OF APPLICANT**

UCIC: Applicant 

F	I	R	S	T
---	---	---	---	---

S	E	C	O	N	D
---	---	---	---	---	---

T	H	I	R	D
---	---	---	---	---

  
PAN: Applicant 

F	I	R	S	T
---	---	---	---	---

S	E	C	O	N	D
---	---	---	---	---	---

T	H	I	R	D
---	---	---	---	---

**Part - B (4) IN CASE OF NRIs / FOREIGN NATIONALS**

RBI approval reference number \_\_\_\_\_ Non face to face customer   
RBI Approval Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**Part - B (5) GUARDIAN DETAILS (Where sole holder is a minor)**

Guardian Name \_\_\_\_\_  
PAN Number \_\_\_\_\_ For account of a minor, two KYC application forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)

Relationship of guardian with minor \_\_\_\_\_

**Part - B (6) BANK DETAILS**

(Mandatory for the first Demat account holder for receiving credit of Dividend / Interest) Please give NRE Bank details only in case Demat account is to be opened as NRE & NRO.

Bank A/C type  Savings A/C  Current A/C  Other (pls specify) \_\_\_\_\_  
Account No. \_\_\_\_\_ RTGS / NEFT / IFSC Code \_\_\_\_\_  
MICR Code \_\_\_\_\_ **Please attach photo copy of Blank / Cancelled cheque to verify the 9 digit MICR code (for Non HDFC Bank A/C's only)**  
Bank Name \_\_\_\_\_ Branch code if HDFC Bank A/C \_\_\_\_\_  
Branch Address \_\_\_\_\_  
City / Town / Village \_\_\_\_\_ State \_\_\_\_\_  
Country \_\_\_\_\_ PIN (mandatory) \_\_\_\_\_

**Part - B (7) DEBIT AUTHORISATION**

I/We authorise Bank to debit recover charges pertaining to opening & maintenance of Demat Account, transaction charges, or any other charges related to Demat account from the said HDFC Bank Savings / Current account with \_\_\_\_\_ Branch 

A	C	C	O	U	N	T	N	O
---	---	---	---	---	---	---	---	---

**Part - B (8) SERVICE REQUEST**

Standing Instruction (SI)  Yes, To receive credit automatically into my/our a/c (Default is, Yes)  No **NOTE: SI for a Non PIS NRE Demat A/c will be by default marked as "No."**

SMS alert facility **Mandatory if you are giving Power of Attorney (POA). Ensure that mobile number is provided in the KYC application form.**  
First holder  Yes  No Second holder  Yes  No Third holder  Yes  No

Delivery Instruction Slip (DIS) booklet facility **To be filled by persons seeking to open a Depository account and has opted for online trading facility or who have given Power of Attorney to operate the Depository account to a stock broker/Participant / Portfolio Manager and do not intend to open a Basic Services Demat Account.**  
 Yes, I / we wish to receive DIS Booklet at the time of account opening  No, however, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date

Mode of receiving Statement of Account (Tick any one)  
 Physical Form  Electronic Form [Read Note 4]

DP on Net facility  NetBanking for Demat a/c **All T&C of NetBanking will be applicable.**

**FOR BANK USE**

Rate ID _____	Bk. Sys. _____	<b>RISK CATEGORY</b>	1st holder	<input type="checkbox"/> High	<input type="checkbox"/> Medium	<input type="checkbox"/> Low	Emp Name & Emp Code
Group ID _____	Br. Code _____		2nd holder	<input type="checkbox"/> High	<input type="checkbox"/> Medium	<input type="checkbox"/> Low	
Client ID _____	Prod. Code _____		3rd holder	<input type="checkbox"/> High	<input type="checkbox"/> Medium	<input type="checkbox"/> Low	
							Bank Seal for Sign Verification
							Signature with date

I/We wish to make a nomination (As per details given below)  I/We do not wish to make a nomination. (Strike off the nomination details below)

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me / us in the said beneficiary owner account shall vest in the event of my / our death.

**Nomination Details**

Nominee name (Mr./Mrs.) \_\_\_\_\_  
 Relationship with Applicant (If any) \_\_\_\_\_  
 Nominee Address \_\_\_\_\_  
 Landmark \_\_\_\_\_  
 City / Town / Village \_\_\_\_\_ PIN Code \_\_\_\_\_ **Mandatory**  
 State \_\_\_\_\_ Yrs at current city Y Y M M Residence Y Y M M  
 Country  India  Other \_\_\_\_\_

**Guardian Details (should be filled only if nominee is minor)**

Date of Birth (In case of minor nominee) D D M M Y Y Y Y \_\_\_\_\_  
 Name of the Guardian (Mr./Ms.) in case minor nominee \_\_\_\_\_  
 Guardian Address \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ State \_\_\_\_\_  
 PIN Code (mandatory) \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship of Guardian with Nominee \_\_\_\_\_

**Contact details of Nominee / Guardian**

Country code STD / Area code Number Extn.  
 Tel. (Off.) \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_  
 Tel. (Res.) \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_  
 Fax \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ Mobile \_\_\_\_\_  
 e - mail ID I N C A P I T A L L E T T E R S O N L Y \_\_\_\_\_

**Nominee Identification Details (please tick any one from below and provide details of the same)**

Photograph and Signature  Copy of Any POI document \_\_\_\_\_  
 PAN \_\_\_\_\_  
 Aadhaar No. X X X X X X X X \_\_\_\_\_  
 Savings Bank A/C No. \_\_\_\_\_  
 Demat account details DP ID \_\_\_\_\_ Client ID \_\_\_\_\_  
 Recent Photograph of the Nominee **N1** (Signature across the photograph)  
 Date of Birth D D M M Y Y Y Y \_\_\_\_\_  
 Signature of Nominee **N2**

**Guardian Identification Details (please tick any one from below and provide details of the same)**

Photograph and Signature  Copy of Any POI document \_\_\_\_\_  
 PAN \_\_\_\_\_  
 Aadhaar No. X X X X X X X X \_\_\_\_\_  
 Savings Bank A/C No. \_\_\_\_\_  
 Demat account details DP ID \_\_\_\_\_ Client ID \_\_\_\_\_  
 Recent Photograph of the Guardian **G1** (Signature across the photograph)  
 Date of Birth D D M M Y Y Y Y \_\_\_\_\_  
 Signature of Guardian **G2**

**Witness for Nomination**  
 Name & Address of the 1st Witness (Mr. / Ms): \_\_\_\_\_  
 Name & Address of the 2nd Witness (Mr. / Ms): \_\_\_\_\_  
 D D M M Y Y Y Y **W1** Signature of Witness 1  
 D D M M Y Y Y Y **W2** Signature of Witness 2

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

**S8** Signature 1st holder \_\_\_\_\_  
 Signature 2nd holder \_\_\_\_\_  
 Signature 3rd holder \_\_\_\_\_

Notes: -1. All communication shall be sent at the address of the Sole/First holder only. 2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate. 3. Instructions related to nomination, are as below: I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form. II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner. III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time. IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities. V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir. VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form. VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee. 4. Instructions related to mode of receiving Statement of Account in electronic form, are as below: I. All the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/ email account should be taken by the client. Such statement may be accessed by other entities in case the confidentiality/secretory of the login name and password is compromised II. Participant or Client can terminate such arrangement by giving 10 days prior notice. III. In case opted for statement through email, the Client shall immediately inform the Participant about change in email address, if any

**Declaration by Demat Account Holder/s**

Date       Application No.       DP ID       Client ID       UCID ID       LG Code       LC Code

Dear Sir/Madam,

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

**Annexure - Regular / Basic Services Demat Account (BSDA)**

Sr. No.	Fee Head	Type	<input type="checkbox"/> I wish to open a Regular Demat Account		<input type="checkbox"/> I wish to open Basic Services Demat Account (BSDA)	
			Regular Demat account		Basic Services Demat account (BSDA)	
			Fees	Min	Fees	Min
1	Account opening charges		Nil			
2	Debit Transactions Equity / Mutual Funds (Market / Off Market)	SPEED-e / Easiest	0.04% of the value of the txn	Rs. 20/-	0.06% of the value of the txn.	Rs. 40/-
		HDFC Securities		Rs. 25/-		Rs. 45/-
		Manual		Rs. 40/-		Rs. 60/-
3	Debit Transactions Debt / Mutual Funds (Market / Off Market)	SPEED-e / Easiest	0.04% of the value of the txn. (Max Rs 5000/-)	Rs. 20/-	0.06% of the value of the txn. (Max Rs 5000/-)	Rs. 40/-
		HDFC Securities		Rs. 25/-		Rs. 45/-
		Manual		Rs. 40/-		Rs. 60/-
4	Credit Transactions		Nil			
5	Pledge Services (Creation / Invocation / Closure)	If Pledge is marked in favour of HDFC Bank	0.02% of the value of the tx	Rs. 40/-	0.04% of the value of the txn	Rs. 60/-
		If Pledge is marked to other than HDFC Bank	0.04% of the value of the txn	Rs. 40/-	0.06% of the value of the txn	Rs. 60/-
6	Reissuance of Delivery Instruction Booklet (DIB)		Rs.75/- per booklet		Rs.75/- per booklet	
7	Dematerialisation	Certificate + Dematerialisation Request	Rs.5/- per certificate + Rs. 35/- per request	Rs. 40/-	Rs.5/- per certificate + Rs. 35/- per request	Rs. 40/-
8	Rematerialisation	Rematerialisation Request	Rs.30/- per request + NSDL / CDSL actuals, Currently a) Rs. 10/- for every hundred securities or part thereof a flat fee of Rs. 10/- per certificate whichever is higher	Rs.40/- (min) Rs.5,00,000 (max)	Rs.30/- per request + NSDL / CDSL actuals, Currently a) Rs. 10/- for every hundred securities or part thereof a flat fee of Rs. 10/- per certificate whichever is higher	Rs.40/- (min) Rs.5,00,000 (max)
9	Courier/Postal Charges only (Adhoc Statement)	Inland Address	Rs.35/- per request		Rs.35/- per request	
		Foreign Address	Rs.500/- per request		Rs.500/- per request	
10	Annual Maintenance Charges	AMC	Rs. 750 p.a.	AMC	Holding Value	
					DebtSecurities	Non DebtSecurities
				*** NIL	****	*****
				*** Rs 100 p.a	0 to 100000	0 to 50000
*** Rs 750 p.a	100001 to 2 lacs	50001 to 2 lacs				
				Above 2 lacs	Above 2 lacs	

**Terms & Conditions:**

- Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
- Customers who have a banking relationship with HDFC Bank to provide a debit authorisation for the recovery of service charges.
- The above charges are exclusive of applicable GST and other taxes / statutory charges levied by Government bodies / statutory authorities from time to time, which will be charged as applicable.
- All charges / service standards are subject to revision at the Bank's sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days.
- In case you are applicable for submission of GSTIN details, please provide details in a separate "GST Annexure". GST Annexure is available on our website ([www.hdfcbank.com](http://www.hdfcbank.com) >> Form Center>> Demat Tab >> GST Annexure).
- Customers having only a Depository relationship will be required to maintain a balance of Rs. 7,500/- in an account maintained by Bank for each Demat account. The Customer also need to replenish the balances in the said account immediately if and when it falls below Rs.5,000/-.

- \*\*\* The Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. For the computation of AMC for Managed Program, the transactions for the previous year will be evaluated, and basis the number of transactions done by the customer, AMC will be levied as per the transaction slabs defined. (For more details of Managed program, kindly refer our website www.hdfcbank.com)
- To evaluate the eligibility for Basic Services Demat Accounts (BSDA), the value of holdings will be determined on a daily basis, as per the file sent by the NSDL / CDSL. The AMC will be calculated at the pro-rata basis based on the value of holding of securities in the account.
- In case of BSDA, such accounts would be levied AMC applicable basis the value of holdings exceeding the prescribed limit immediately from the next day of exceeding such limit.
- In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard program Demat accounts without further reference to the respective customers and will be levied standard Program pricing.
- In case if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
- The value of the transaction will be in accordance with rates provided by Depositories (NSDL / CDSL)
- The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- The operating instructions for the joint accounts must be signed by all the holders.
- All instructions for transfer must be received at the designated DP servicing branches of the Bank at least 24 hours before the execution date.
- In case of non-recovery of service charges due to inadequate balance in your linked bank account or inadequate advance fees or invalid bank account, the Depository services for your account will be temporarily discontinued. The services will be resumed in a minimum of three working days from the date of receipt of request with HDFC Bank and post payment of all outstanding dues towards Depository charges.
- In case the Demat accounts are with nil balances / transactions or in case if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of 1 year. However the electronic statement of holding will be sent only to the customers whose email IDs are registered for e-statement.
- The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence despatch of physical statements will be discontinued.
- Your Transaction cum Billing statement will be available on NetBanking under Demat tab by second week of every month with option to view /download.

**Aadhaar:** I hereby submit my above mentioned Aadhaar number as issued by Govt. of India, to HDFC Bank and voluntarily give my consent to link / seed my Aadhaar number to all my accounts / relationships (existing and new) maintained with HDFC Bank in my individual capacity and / or as an authorized signatory in non-individuals accounts and; to use my Aadhaar details to authenticate me from UIDAI. The consent and purpose of collecting Aadhaar has been explained to me in local language. HDFC Bank has informed me that my information submitted to the bank herewith shall not be used for any purpose other than mentioned above, or as per requirements of law.

For detailed terms and conditions on Aadhaar linking with all accounts / relationships (existing & new ) maintained with Bank and authentication, kindly refer ' General Instruction - Applicable to all Services' on the website .

## SEPARATE MOBILE NUMBER & EMAIL ID DECLARATION

Separate email ID & mobile number declaration - I hereby declare that the below  Mobile number or  Email ID belongs to  Self  Spouse  Dependent Parents  Dependent Children

	Name of the Customer	Mobile Number	Email Id of the Customer
1st Account holder			
2nd Account holder			
3rd Account holder			

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Signature 1st holder

Signature 2nd holder

Signature 3rd holder



UDN

**Name of the Applicant:**

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

**BANK AND DEPOSITORY ACCOUNTS DETAILS:**

Bank Name:  HDFC Bank A/C  Other Bank Name \_\_\_\_\_

Bank A/C No. \_\_\_\_\_ Account Type:  Savings  Current

IFSC Code \_\_\_\_\_ MICR Number: \_\_\_\_\_

Branch Address \_\_\_\_\_ Branch Code \_\_\_\_\_

DP Name \_\_\_\_\_

Client ID (BO ID) \_\_\_\_\_ DP ID: I N \_\_\_\_\_

Client ID (BO ID) \_\_\_\_\_ Depository Name (tick one)  NSDL  CDSL

**TRADING PREFERENCES:**

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

Exchange	Cash Market	Future & Options	Currency Derivative
<b>National Stock Exchange (NSE)</b>	<b>S10</b> X Signature of Client	<b>S11</b> X Signature of Client	<b>S12</b> X Signature of Client
<b>Bombay Stock Exchange (BSE)</b>	<b>S13</b> X Signature of Client	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: (Please refer last page of this application form)

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

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

Sub-Broker's Name: \_\_\_\_\_ SEBI Registration number: \_\_\_\_\_

R. O. Address: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_

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

Name of Stock Broker: \_\_\_\_\_ Name of Sub-Broker, if any: \_\_\_\_\_

Client Code: \_\_\_\_\_ Exchange: \_\_\_\_\_

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

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

E-mail ID for ECN \_\_\_\_\_

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

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

Y Y Other investment related field Any other information: \_\_\_\_\_

If employed please provide employer name \_\_\_\_\_

**OTHER DETAILS (PLEASE SPECIFY)**

\*Gross annual income(₹)  < 1 lac  1 to 5 lac  5 to 10 lac  10 to 25 lac  > 25 lac  
(Income range per annum)

**OR Net worth (₹)** \_\_\_\_\_ as on date DD MM YYYY Net worth should not be older than one year

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

- Public Sector  Private Sector  Government Service  Business  Professional  Agriculturist  
 Retired  Housewife  Student  Others (please specify) \_\_\_\_\_

Please tick, if applicable  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)**

I/We wish to nominate  Yes  No Name:

Relationship:  PAN  DOB:

Address:  Phone:

If Nominee is a minor, name of guardian:

Address of Guardian:

Phone:

**G3**  
X Signature of Guardian

**WITNESSES (Only applicable in case the account holder has made nomination)**

Name : <input type="text"/>	Name : <input type="text"/>
Address: <input type="text"/>	Address: <input type="text"/>
Date: <input type="text"/> Signature X <b>W3</b>	Date: <input type="text"/> Signature X <b>W4</b>

**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.
- 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.
- 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 : **S14**

X Signature of Client

       **FOR OFFICE USE ONLY (LC to fill details and Sign)**UCC Code allotted to the Client: 

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

## Extended KYC Annexure - Individuals (including sole-proprietors)

(Applicable for Resident and Non-Resident Customers)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

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

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

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

Please fill the information below as requested	First Account Holder	Second Account Holder
Name of the Account Holder		
Customer ID		
City of Birth		
Country of Birth		
Address for Tax purpose	<input type="checkbox"/> same as mailing address <input type="checkbox"/> same as permanent address	<input type="checkbox"/> same as mailing address <input type="checkbox"/> same as permanent address
Address Type for the above	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Nationality (if national of more than one country, please mention all the countries separated by a comma)		
Father's Name		
Spouse's Name		
Identification Type - Documents submitted as proof of identity of the individual	<input type="checkbox"/> Passport <input type="checkbox"/> PAN <input type="checkbox"/> Election / Voter's ID card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar card / letter <input type="checkbox"/> NREGA Card <input type="checkbox"/> Govt ID Card <input type="checkbox"/> Others( pls specify ) _____	<input type="checkbox"/> Passport <input type="checkbox"/> PAN <input type="checkbox"/> Election / Voter's ID card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar card / letter <input type="checkbox"/> NREGA Card <input type="checkbox"/> Govt ID Card <input type="checkbox"/> Others( pls specify ) _____
Identification Number - for the identification type mentioned above		

Are you a tax resident of any country other than India?

• First account holder :    Yes     No

• Second account holder :    Yes     No

**If yes**, please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below:

Account holder details	Name of Customer	Country/(ies) of Tax residency #	Tax Identification Number (TIN)%	Identification Type (TIN or Other%, please specify)
First				
Second				

**# To also include USA, where the individual is a citizen/ green card holder of USA**

**% In case Tax Identification Number is not available, kindly provide functional equivalent<sup>5</sup>**

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

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Signature of first holder

Signature of second holder\*

\* Second holder not applicable in case of trading A/C

### CBDT Terms and Conditions

The Central Board of Direct Taxes (CBDT) has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as 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.

### CBDT Instructions

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.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

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

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

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\* Government or agency thereof or a municipality

For HDFC Bank/Securities use only :

Sourcing Branch Name : \_\_\_\_\_ Branch Code :

Signature verified and form approved by : BDA / BM employee Code : \_\_\_\_\_ Signature & Date : \_\_\_\_\_

Date: 

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

AOF no.: \_\_\_\_\_

 LG Code 

 LC Code 

Please fill the information below as requested	First Account Holder	Second Account Holder
Application Type	<input type="checkbox"/> New <input type="checkbox"/> Update	<input type="checkbox"/> New <input type="checkbox"/> Update
*Account Type	<input checked="" type="checkbox"/> Normal <input type="checkbox"/> Simplified (For low risk customer) <input type="checkbox"/> Small	<input checked="" type="checkbox"/> Normal <input type="checkbox"/> Simplified (For low risk customer) <input type="checkbox"/> Small
KYC Number (Mandatory for KYC update request)	<input type="text" value=""/>	<input type="text" value=""/>
*Name (Same as ID proof) (write in block letter)	_____ First Name Middle Name Last Name	_____ First Name Middle Name Last Name
Maiden Name ( if any*)	_____ First Name Middle Name Last Name	_____ First Name Middle Name Last Name
Mother Name*	_____ First Name Middle Name Last Name	_____ First Name Middle Name Last Name
Gender*	<input type="checkbox"/> M-Male <input type="checkbox"/> F-Female <input type="checkbox"/> T-Transgender	<input type="checkbox"/> M-Male <input type="checkbox"/> F-Female <input type="checkbox"/> T-Transgender
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others
Citizenship*	<input type="checkbox"/> IN_Indian <input type="checkbox"/> Others _____	<input type="checkbox"/> IN_Indian <input type="checkbox"/> Others _____
Residential status *	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non-Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non-Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin

\* Mandatory Fields

**Applicant Declaration - Additional Information for CERSAI :**

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

# I hereby consent to receiving information from Central KYC Registry through SMS/Email.

**Applicant Preference for receiving Documents as part of Account Opening Kit**

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

1. Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading); (applicable for HDFC Securities Limited - Trading Account)
2. Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories; (applicable for Demat account)
3. Uniform Risk Disclosure Documents (for all segments/ exchanges); and (applicable for HDFC Securities Limited - Trading Account)
4. Guidance Note detailing Do's and Don't for trading on stock exchanges. (applicable for HDFC Securities Limited - Trading Account)

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Signature/Thumb Impression of First Applicant

Signature/Thumb Impression of Second Applicant

**Institution Details**

For HDFC Bank/Securities use only :

 DP ID : 

 Client ID : 

Sourcing Branch Name : \_\_\_\_\_

 Branch Code : 


Signature verified and form approved by : BDA / BM employee Code : \_\_\_\_\_ Signature &amp; Date : \_\_\_\_\_

**A. IMPORTANT POINTS**

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted
10. For opening a minor's account with Depository Participant or Mutual Fund, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
12. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
13. Demat master or recent holding statement issued by DP bearing name of the client.
14. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.

**B. Proof of Identity( POI): List of documents admissible as Proof of Identity:**

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

**C. Proof of Address (POA): List of documents admissible as Proof of Address:**

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

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

**D. Exemptions/clarifications to PAN**

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

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

**E. List of people authorized to attest the documents:**

1. Notary Public, Gazetted Officer , Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

**Important:**

The Bank/ Securities staff carrying out the IPV should:

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

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

i. The 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 & INSTRUCTIONS

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) (hereinafter collectively referred to as the "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 Joint Account Holders are the holders of one or more of the Associated Accounts as stated in the Schedule below;

Under the terms of the Account Opening Documentation, the Joint Account Holders have agreed 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 holders, which the Joint Account Holders hereby do as under:-

#### POWER OF ATTORNEY

1. I/We, the 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, fixed deposits, money market instruments, collective investment schemes or any other security or financial instrument, derivatives, including but not limited to equity derivatives, currency derivatives, interest rate derivatives, forwards, futures, swaps and options, and public provident fund, national savings schemes, new pension system / scheme and other savings schemes of Government of India or other undertakings, life insurance, general insurance or such other products / facilities / services offered and/or distributed by HDFC securities, from time to time or in connection with any transaction effected or entered into or proposed to be effected or entered into by HDFC securities pursuant to the said Account Opening Documentation;

(iv) towards monies/ fees/ charges, or the like due to HDFC Bank and/or HDFC securities payable by virtue of my/ us using/ subscribing to any of the facilities/ services availed by me/ us. Provided 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 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, fixed deposits, money market instruments or other instruments of like nature, collective investment scheme or any other security or financial instrument, derivatives, including but not limited to equity derivatives, currency derivatives, interest rate derivatives, forwards, futures, swaps and options, and public provident fund, national savings schemes, new pension system / scheme and other savings schemes of Government of India or other undertakings,, life insurance, general insurance or such other products/facilities/services, offered and/or distributed by HDFC Securities. In

power of attorney.

ii. The 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 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 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 or liquidation of 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 such Joint account Holder upon the intimation in writing to HDFC Bank and HDFC securities of such death, disablement, dissolution, winding up or liquidation by the surviving Joint Account Holder/s and the instructions and agreements contained herein shall be revoked within two days of such intimation.

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.

viii. 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 outstandings 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 \_\_\_\_\_ Date: \_\_\_\_\_  
For HDFC Bank Limited

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

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

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

Name of the Depository Participant		HDFC BANK LTD.
NSDL		
DP ID	CLIENT ID	
IN300126	11178642, 11178157, 11248012	
IN300476	41012590, 41012604, 41561832, 41012612	
IN301549	14592379, 18030756, 37528031, 37528040	
CDSL		
DP ID	CLIENT ID	
13012400	00004705, 4524460, 00005785, 00004711, 00004724, 00444628 00475363	

ASSOCIATED BANK ACCOUNT DETAILS :-

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

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

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

First Holder Name _____	<b>S17</b>
*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 _____	<b>S18</b>
*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)



## 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

**S19**

X Signature of Client

**S20**

X Signature of Client

Yours faithfully,

#### 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.

### HDFC ERGO General Insurance Company Limited GROUP PERSONAL ACCIDENT PROPOSAL FORM

UDN

I/We hereby  wish to /  do not wish to apply for HDFC ERGO Group Personal Accident Insurance as detailed below

Name of the Insured: \_\_\_\_\_

\*Name of Nominee: \_\_\_\_\_ \*Relationship: \_\_\_\_\_

**PROPOSER'S DECLARATION:** I propose to opt for Group Personal Accident Insurance Coverage from HDFC ERGO General Insurance Company Limited, the premium amount being  ₹ 555/- (including tax). Rupees Five hundred fifty five Only (including tax) Sum Insured - ₹ 500,000  
 ₹ 1111/- (including tax). Rupees One thousand one hundred eleven Only (including tax) Sum Insured - ₹ 10,00,000

Debit Authorisations: I/ We hereby authorise HDFC Securities to debit my account No. \_\_\_\_\_

- for amount ₹ 555/- in words **Rupees five hundred fifty five Only** towards payment for Insurance policy.  
 for amount ₹ 1111/- in words **Rupees one thousand one hundred eleven Only** towards payment for Insurance policy.

Benefits: 1. Accidental Death      2. Permanent total Disablement

**Insurance is the subject matter of the solicitation**

• I accept the Terms and Conditions of the Group Personal Accident insurance policy. • I authorize the insurance Company to obtain any records or references, be they medical or otherwise, in consideration of this insurance or any potential claims in the future. • I certify that all the information provided in this proposal is true and correct. • I agree that the proposal and the declaration shall be the basis of contract between me and HDFC ERGO General Insurance Company Limited.

\* It is mandatory field to be filled.

**S21**

X Signature of Proposer

## 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.

\*HDFC securities limited offers execution based services only

**FRAUD WARNING:** This policy shall be voidable at the option of the company in the event of mis-representation, mis-description or non disclosure of any material particulars by the proposer. Any person who, knowingly and with intent to defraud the insurance company or any other person, files a proposal for insurance containing any false information, or conceals for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act, which will render the policy voidable at the sole discretion of the insurance company and result in a denial of insurance benefits. If a claim is in any respect fraudulent, or if any fraudulent or false plan, specification, estimate, deed, book, account entry, voucher, invoice or other document, proof or explanation is produced, or any fraudulent means or devices are used by the insured, policyholder, beneficiary, claimant or by anyone acting on their behalf to obtain any benefit under this policy, or if any false statutory declaration is made or used in support thereof, or if loss is occasioned by or through the procurement or with the knowledge or connivance of the insured, policyholder, beneficiary, claimant or other person, then all benefits under this policy shall be forfeited.

**ANTI-REBATING WARNING:** As per Section 41 of the Insurance Act 1938, No person shall allow or offer to allow, either directly or indirectly, as an inducement to any person to take out or renew or continue an insurance in respect of any kind of risk relating to lives or property in India, any rebate of the whole or part of the commission payable or any rebate of the premium shown on the policy, nor shall any person taking out or renewing or continuing a policy accept any rebate, except such rebate as may be allowed in accordance with the published prospectus or tables of the insurer. Any person violating Section 41 of the Insurance Act 1938 shall be punishable with fine which may extend to five hundred (500) Rupees.

### HDFC ERGO GENERAL INSURANCE COMPANY LIMITED.

IRDA REG NO: 125, Product Code:HC/ABL/GPAI-01/02, 6th Floor, Leela Business Park, Andheri-Kurla Road, Andheri - (East), Mumbai 400 059. Toll-free No. 1800 2 700 700 Fax: 91 22 6638 3699  
care@hdfcergo.com www.hdfcergo.com  
Registered Office: Ramon House, H. T. Parekh Marg, 169, Backbay Reclamation, Mumbai 400 020

DP ID	<input style="width: 100%;" type="text"/>	Client ID	<input style="width: 100%;" type="text"/>	Date	<table border="1" style="width: 100%; text-align: center;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y						

Customer Identification No. Cust ID:  (Savings / Current Account) (Cust ID should be provided for the Sole / 1st Holder of the Demat Account)

I / We the account holders of the above Demat Account would like to register for the following facilities offered by HDFC Bank Ltd.

No.	FACILITY	CONSENT
1.	Net Banking	YES
2.	View Demat Account through Net Banking	YES

I / We have read and understood the terms and conditions detailed below. I / We accept and agree to be bound by the said terms and conditions and to any changes made therein from time to time. These facilities would be given to the first holder.

NAME	SIGNATURE
Sole / 1st Holder	<input style="width: 80%; height: 40px;" type="text" value="S22"/> (Signature of 1st Holder)
2nd Holder	<input style="width: 80%; height: 40px;" type="text"/> (Signature of 2nd Holder)
3rd Holder	<input style="width: 80%; height: 40px;" type="text"/> (Signature of 3rd Holder)

**DECLARATION:**

- I have read and understood the Terms and Conditions (a copy of which I am in possession of) relating to opening of an account and various services including but not limited to NetBanking.
- I accept and agree to be bound by the said Terms and Conditions. I understand that I would be registered for NetBanking, in case I am not already registered for it. I agree that the Bank may debit my account for service charges as applicable from time to time.

**Terms & Conditions:**

**NSDL**

- I / We confirm that necessary steps will be taken to ensure confidentiality and secrecy of the login name and password.
- I am / We are aware that the transaction statement may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.
- I / We agree to immediately inform HDFC Bank Limited about change in email address, if any.
- I am / We are aware that I / We will not receive Transaction Statement in paper form.
- I / We reserve my / our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.
- I / We and HDFC Bank Limited shall have the right to terminate this agreement after giving a notice of at least 10 days to the other party. The above terms and condition are in addition to and not in contravention of the terms and conditions forming a part of the "AGREEMENT BETWEEN THE PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE PARTICIPANT" signed by the client at the time opening the account with the Depository.

**CDSL**

- Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I / We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.
- I / We confirm that the dispatch of statement of account to me / us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me / us with statement of my / our BO account. But, I / we reserve my / our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.
- I / We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch / service of my / our statement of account on me / us shall not be binding upon you unless you are intimated in writing by me / us by acknowledged delivery.

**General Instructions:**

- The IPIN (Net Banking password) will be mailed to you at your recorded mailing address within the Bank. The same may be used to access the Net Banking facility. Password will not be regenerated, in case you are already registered for NetBanking
- The DP @ Net facility is available only to the clients who have already registered for NET BANKING facility for their Bank account with HDFC Bank Ltd. The client should be the Sole / 1st holder of the above mentioned Demat Account.
- No separate User ID and password is required for availing the DP @ Net facility offered by HDFC Bank Ltd. The facilities offered through

**Features**

DP @ Net includes:

- a) View holding statement with valuations as per previous day's closing price,
- b) View 6 month's transaction statement,
- c) View status of Demat requests,
- d) View settlement calendar, etc.
- Email statements would be sent only to the Sole / 1st Holder of the above mentioned Demat Account

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

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

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

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

Checklist for Individuals / Minor / Applicant(s):	For the Applicants		For DP use	
Self attested copy of PAN submitted by ALL applicants.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In case the photo on PAN copy is not clear, another self attested ID proof	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Self attested copy of Address Proof of ALL the applicants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
KYC form is duly filled, signed and submitted by ALL applicants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Photograph affixed and signed across such that part of the signature is on the form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy of cancelled cheque leaf of the 1st applicant is provided	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Type of account mentioned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complete address of the bank, i.e Name and Address in full with Pin code is provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MICR number duly filled-in	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

### General Clause

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

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

### Beneficial Owner information

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

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

### Fees/Charges/Tariff

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

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

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

### Dematerialization

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

### Separate Accounts

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

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

### Transfer of Securities

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

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

### Statement of account

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

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

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

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

### Manner of Closure of Demat account

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

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

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

### Default in payment of charges

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

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

### Liability of the Depository

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

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

### Freezing/Defreezing of accounts

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

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

### Redressal of Investor grievance

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

### Authorized representative

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

### Law and Jurisdiction

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

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

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

**Tariff Sheet - Regular / Basic Services Demat Account (BSDA)**

Sr. No.	Fee Head	Type	Regular Demat account		Basic Services Demat account (BSDA)	
			Fees	Min	Fees	Min
1	Account opening charges		Nil			
2	Debit Transactions Equity / Mutual Funds (Market / Off Market)	SPEED-e / Easiest	0.04% of the value of the txn.	Rs. 20/-	0.06% of the value of the txn.	Rs. 40/-
		HDFC Securities		Rs. 25/-		Rs. 45/-
		Manual		Rs. 40/-		Rs. 60/-
3	Debit Transactions Debt / Mutual Funds (Market / Off Market)	SPEED-e / Easiest	0.04% of the value of the txn. (Max Rs 5000/-)	Rs. 20/-	0.06% of the value of the txn. (Max Rs 5000/-)	Rs. 40/-
		HDFC Securities		Rs. 25/-		Rs. 45/-
		Manual		Rs. 40/-		Rs. 60/-
4	Credit Transactions		Nil			
5	Pledge Services (Creation / Invocation / Closure)	If Pledge is marked in favour of HDFC Bank	0.02% of the value of the txn.	Rs. 40/-	0.04% of the value of the txn	Rs. 60/-
		If Pledge is marked to other than HDFC Bank	0.04% of the value of the txn	Rs. 40/-	0.06% of the value of the txn	Rs. 60/-
6	Reissuance of Delivery Instruction Booklet (DIB)		Rs.75/- per booklet		Rs.75/- per booklet	
7	Dematerialisation	Certificate + Dematerialisation Request	Rs.5/- per certificate + Rs. 35/- per request	Rs. 40/-	Rs.5/- per certificate + Rs. 35/- per request	Rs. 40/-
8	Rematerialisation	Rematerialisation Request	Rs.30/- per request + NSDL / CDSL actuals, Currently a) Rs. 10/- for every hundred securities or part thereof a flat fee of Rs. 10/- per certificate whichever is	Rs.40/- (min) Rs.5,00,000 (max)	Rs.30/- per request + NSDL / CDSL actuals, Currently a) Rs. 10/- for every hundred securities or part thereof a flat fee of Rs. 10/- per certificate whichever is higher	Rs.40/- (min) Rs.5,00,000 (max)
9	Courier/Postal Charges only (Adhoc Statement)	Inland Address	Rs.35/- per request		Rs.35/- per request	
		Foreign Address	Rs.500/- per request		Rs.500/- per request	
10	Annual Maintenance Charges	AMC	Rs. 750 p.a.	AMC	Holding Value	
					DebtSecurities ****	Non DebtSecurities *****
				*** NIL	0 to 100000	0 to 50000
				*** Rs 100 p.a	100001 to 2 lacs	50001 to 2 lacs
	*** Rs 750 p.a	Above 2 lacs	Above 2 lacs			

**Terms & Conditions:**

- Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
- Customers who have a banking relationship with HDFC Bank to provide a debit authorisation for the recovery of service charges.
- The above charges are exclusive of applicable GST and other taxes / statutory charges levied by Government bodies / statutory authorities from time to time, which will be charged as applicable.
- All charges / service standards are subject to revision at the Bank's sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days.
- Incase you are applicable for submission of GSTIN details, please provide details in a separate "GST Annexure". GST Annexure is available on our website (www.hdfcbank.com >> Form Center>> Demat Tab >> GST Annexure)
- Customers having only a Depository relationship will be required to maintain a balance of Rs. 7,500/- in an account maintained by Bank for each Demat account. The Customer also need to replenish the balances in the said account immediately if and when it falls below Rs.5,000/-.
- \*\*\* The Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. For the computation of AMC for Managed Program, the transactions for the previous year will be evaluated, and basis the number of transactions done by the customer, AMC will be levied as per the transaction slabs defined. (For more details of Managed program, kindly refer our website www.hdfcbank.com)
- To evaluate the eligibility for Basic Services Demat Accounts (BSDA), the value of holdings will be determined on a daily basis, as per the file sent by the NSDL / CDSL. The AMC will be calculated at the pro-rata basis based on the value of holding of securities in the account.
- In case of BSDA, such accounts would be levied AMC applicable basis the value of holdings exceeding the prescribed limit immediately from the next day of exceeding such limit.
- Incase the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard program Demat accounts without further reference to the respective customers and will be levied standard Program pricing.
- Incase if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
- The value of the transaction will be in accordance with rates provided by Depositories (NSDL / CDSL)
- The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- The operating instructions for the joint accounts must be signed by all the holders.
- All instructions for transfer must be received at the designated DP servicing branches of the Bank at least 24 hours before the execution date.
- In case of non-recovery of service charges due to inadequate balance in your linked bank account or inadequate advance fees or invalid bank account, the Depository services for your account will be temporarily discontinued. The services will be resumed in a minimum of three working days from the date of receipt of request with HDFC Bank and post payment of all outstanding dues towards Depository charges.
- In case the Demat accounts are with nil balances / transactions or incase if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of 1 year. However the electronic statement of holding will be sent only to the customers whose email IDs are registered for e-statement.
- The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence despatch of physical statements will be discontinued.
- Your Transaction cum Billing statement will be available on NetBanking under Demat tab by second week of every month with option to view /download.

**I/we agree to abide by and to be bound by all the Terms and Conditions pertaining to Debit authorisation, E-mail statement and Fee & schedule.**



HDFC Bank Limited, Depository Services, Empire Plaza I, 4th Floor, Chandan Nagar, LBS Marg, Vikhroli West, Mumbai - 400083.  
Registered Office: HDFC Bank House, Senapati Bapat Marg, Lower Parel, Mumbai - 13.

**ACKNOWLEDGMENT**

NSDL (DP ID - IN 300126 / IN 301151 / IN 301549 / IN 300476 / IN 300601 / IN 301436), CDSL (DP ID - 13012400)

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

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

Participant Stamp & Signature