

## Easy Funds

- ▶ Same day payouts with Encash feature
- ▶ Margin Trading Facility Upto 4x margin for 180 days



## Extensive Products Range

- ▶ Equity, Derivatives, Commodity, Currency, Mutual Funds
- ▶ IPO, NCD, ETF, SGB, etc.
- ▶ Stock Lending & Borrowing Mechanism (SLBM)



NON INDIVIDUAL

# INVESTMENT ACCOUNT

A one stop shop for all your investment requirements

## Innovative Investment Solutions

**Global Investing**  
Direct investment  
in US Stocks & ETFs

**Model Portfolios**  
Build a Strong  
Portfolio

**Thematic Portfolios**  
Invest in Ideas

**DigiGold**  
The Right Way  
to Invest in Gold



## Convenience

- ▶ Multiple Trading Platforms
- ▶ Award Winning Advisory Team
- ▶ Dedicated Relationship Manager with Call & Trade Facility
- ▶ Advanced Portfolio Tracker with Up-to-date corporate actions

## CHECKLIST FOR ENSURING DEMAT/HSL ACCOUNTS FTR

Part / Segment	Details for verification	Page no.	Tick (✓)
General	Application Form type, to be mentioned.	1	
	Sourcing Branch Code & Name (if applicable), to be mentioned & should be consistent across pages.	1	
	Branch Inward Stamp, Auth Signatory Name, Emp Code, Seal of Branch, should be available & should be consistent across pages.	1	
KYC Form	Details of Legal Entity	Mandatory to provide Name of Legal entity / Status / Entity address, Mobile & Email details / Legal entity declaration with AUS Signature	3
		IPV Details should be complete with Employee details, Designation, signatures, Branch seal and date.	3
		Legal entity Name should match with Proof of Identity (POI).	3
		Mandatorily Mobile & email id required, to be mentioned.	3
	Details of Related Person(s)	Mandatory details @ Related Person Type / DIN number / Related person Name / Father or Spouse Name / Mother Name / Martial Status / Date of Birth / Gender / Nationality / PAN or Form 60 / POLITICALLY EXPOSED PERSON / OVD proof Tick box / Related person PHOTO with across signature / Correspondence address & Permanent address / Related person declaration & Signature Related person Name should match with that of Proof of Identity (POI).	4,5,6 4,5,6
Demat AOF	LG code & LC Code, to be mentioned & should be consistent across pages.	1	
	Mandatory to select Depository i.e. NSDL or CDSL for opening of Account.	7	
	Details of Account holder with Pan number / GST ID number / Type of account tick box / Bank details	7	
	Financial (i.e. Gross Annual Income, LEI no and Net worth) Details, to be mentioned.	7	
	In case Dividend a/c is Non HDFC Bank A/c then photocopy/cancelled cheque leaf is required to be attached	7	
	Politically Exposed Person (PEP) Ticked	7	
	Standing instruction, POA operated, SMS Alert Facility, Auto pledge confirmation, Mode of receiving Statement of Account and Mode of Annual Reports, AGM notice & other communication from issuer to be specified.	8	
	HUF DECLARATION to be filled up in case HUF account and Clearing member details in case POOL account	8	
	Fill up Debit Authorisation details and AUS certification require as per MOP mentioned in Bank account	9	
	Bank official seal and signature on Debit Authorisation page	9	
	Fee Schedule for HDFC Securities Corporate Demat Accounts (NSDL & CDSL)	10	
Auth signatory certification require as per MOP on Acknowledgment / Consent For Additional Rights & Obligations page	10		
FATCA FORM	Entity and Beneficial Owner details to be filled	13, 14 & 15	
Trading AOF	Scheme Type, to be mentioned.	1	
	Mandatory to tick on - Monthly or Quarterly, for setting the Trading Account.	2	
	Strike off Physical under consent for Additional Right & Obligation / Tariff Sheet.	2	
	AOC amount as per consent letter, is to be mentioned.	2	
	Applicant name and Bank and DP account details to be filled	11	
	Sign required on Trading Preferences	11	
	Specify Proof of income given for F&O & CDS to be mentioned.	11	
	Tick required on - Past Action, Dealing through other Brokers / Sub Brokers	11	
	Tick required on ECN or PCN, Internet Facility, Experience in Trading	12	
Tick required on - Gross income amount & Occupation	12		
DDPI & Other	DDPI, Bank Mandate & Master Mandate	19,20	
	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories Customers Only (To be given to the Customers)	21,22	
	Common check list and Important points		
Signatures	Customer to sign @ 23 places, 5 for Demat & 18 for Trading AOF		

### General but IMPORTANT Checks

- Always use the new version of forms, refer mail from CPU and check version of form (it should be the latest).
- Name of the applicant between AOF/PAN/ID & Address Proof /FATCA/Income Tax Site should be consistent
- Self attested clear readable copy of PAN and Proof of Identity & Proof of Address to be submitted.
- Original seen & verification stamp by the Bank Staff to be affixed on PAN card copy, POI and Proof of Address copy.
- In case the photo on POI copy is not clear, alternate self attested ID proof to be provided.
- Photograph affixed and signed across such that part of signature is on the photo and part is on form.
- Aadhar Consent letter required, if Aadhar card copy is provided as supporting document.
- All Alterations/Corrections are attested by the customer.
- Company / HUF stamp required on the all the signatures.

HSL/HDFC Bank Branch code Branch Name	
Employee Code & Name	
Signature	Date:

## COMMON DEMAT & TRADING ACCOUNT OPENING CHECK LIST

Type of Documents require	Public / PVT LTD	LLP	Partnership *	HUF	Un-Registered trust*	Registered trust*	Registered Society	Foreign body corporate
KYC Form - Part 1	✓	✓	✓	✓	✓	✓	✓	✓
Demat Account opening form - Part 2	✓	✓	✓	✓	✓	✓	✓	✓
Self-Attested copy of PAN Card - Company / Authorized signatories / Two Directors / Whole time Directors / Promoters / LLP / Partnership Firm / all Partners / HUF / Karta / Trust / Society / all Trustees / Trust / society Chairman / Secretary / Members is required	✓	✓	✓	✓	✓	✓	✓	✓
Self-Attested copy of Address Proof -Company / Authorized signatories / Two Directors / Whole time Directors / Promoters / LLP / Partnership Firm / all Partners / HUF / Karta / Trust / Society / all Trustees / Trust / society Chairman / Secretary / Members is required	✓	✓	✓	✓	✓	✓	✓	✓
Board Resolution / Authority Letter / Trust Resolution / Society Resolution is required on Letter Head of the Firm to open Demat account with HDFC Bank Ltd.	✓	✓	X	X	✓	✓	✓	✓
NOC from all partners for opening account in the name of particular partner(s)	X	X	✓	X	X	X	X	X
Declaration requires as per NSDL format refer Annexure II	X	X	✓	X	X	X	X	X
List of Directors / Designated partner / Partner / Trustee / Managing Committee / Member is required and same should be duly certified by authorized signatories	✓	✓	✓	X	✓	✓	✓	✓
List of authorized signatories with photographs and specimen signatures duly certified by authorized signatories is required	✓	✓	✓	X	✓	✓	✓	✓
Certificate of Incorporation / LLP certificate / Trust / society Registration certificate duly certified by Authorized signatories is required	✓	✓	X	X	X	✓	✓	✓
Copies of Memorandum of Association & Articles of Association / LLP Deed / Partnership Deed / Trust Deed / Bye laws duly certified by Authorized signatories is required	✓	✓	✓	X	✓	✓	✓	✓
Copy of Audited Balance sheets for the last 2 financial years require and For Trading a/c opening two-year audited P&L require	✓	✓	✓	X	✓	✓	✓	✓
Copy of latest share holding pattern including list of all those holding control, either directly or indirectly is required	✓	X	X	X	X	X	X	✓
Latest photograph of two Directors / one whole time Directors / All partners / Designated partners / Karta / All Trustee / Chairmen & Secretary to be affix on Account opening form.	✓	✓	✓	✓	✓	✓	✓	✓
Latest photograph of all individual Promoters to be affix on Account opening form. In case there are no individual promoters in the company, then No promoter declaration require company letter head.	✓	X	X	X	X	X	X	✓
Beneficial Owner Declaration (Annexure I) duly filled & signed by AUS and Copy of PAN & Address Proof of share Holders / Beneficial Owners (natural persons) / settlers / trustee / protectors & Beneficiaries are required	✓	✓	✓	X	✓	✓	✓	✓
FATCA Annexure for Entities duly filled & signed	✓	✓	✓	✓	✓	✓	✓	✓
MCA site printout duly certified by Authorized signatories is required	✓	✓	X	X	X	X	X	✓
If Aadhar card copy is/are submitted for any individual, then Aadhar consent declaration is/are required.	✓	✓	✓	✓	✓	✓	✓	✓
Declaration from all the trustees required stating that only securities belonging to the Trust will be held / transacted in this Account ( Part of Trust resolution )	X	X	X	X	✓	X	X	X
Necessary RBI approvals to be obtained / FDI declaration to be provided certified by AUS as per MOP	X	X	X	X	X	X	X	✓
Declaration from the foreign entity required that it has complied and will continue to comply with FEMA Regulations certified by AUS as per MOP	X	X	X	X	X	X	X	✓
Incase self-attestation done on KYC documents is differ with ID proof then Signature Mismatch declaration required	✓	✓	✓	✓	✓	✓	✓	✓

### PMLA guidelines for identification of Beneficial owners

With reference to amendment in Master Direction on Know your customer, the threshold for "Controlling ownership interest/Control" for the purpose of determination of Beneficial Owner has been revised. Below table details the threshold which needs to be followed.

Type Entity	Thresholds
Companies (One Person Company/Public/ Private Limited/ Section 25/8, Partnership firm/LLP)	More than 10 percent
BOI/AOP/Society	More than 15 percent
Registered / Unregistered Trust	Beneficial owner(s) shall include identification of <ul style="list-style-type: none"> <li>• The author of the trust</li> <li>• The Trustee</li> <li>• The beneficiaries with 10% or more interest in the trust</li> <li>• Any other natural person exercising ultimate effective control over the trust through chain of Control or Ownership</li> </ul>

Sr No	IMPORTANT POINT FOR DEMAT AND TRADING ACCOUNT OPENING
1	Pvt Ltd / LLP / Foreign body corporate account can only be opened in the name of Entity
2	Annexure-I required on company letter head
3	For ID & Address proof Official Valid Document ( OVD ) proof is mandatory i.e - Aadhar card, Driving License, Voter ID card, Passport copy, Job card issued by NREGA etc
4	Original seen and verified stamp to be affixed on the copies of all supporting documents. The Bank staff need to affix his/her full signature and mention his/her name and employee code.
5	Branch code, Branch name, LG code, LC code Branch Inward date & BDA certification should furnish on covering page of AOF.
6	Board resolution should not be more than six months old.
7	Board resolution should be signed by minimum Two Directors/ MD/CS.
8	E- aadhar copy should be latest downloaded from UIDAI site, not more than a month old.
9	Digital signature should be validated on e-PAN card & e-Aadhar card copy
10	Latest share holding pattern require ( should not more than 6 months old )
11	If Individual UBO is not identified then Senior Managing official details require in Section - I on annexure I and FATCA annexure 2
12	First eight digit of Aadhar number on Aadhar copy should be redacted / Blacked Out
13	In case of partnership firm, Demat account will be opened in the name upto three partner (s).
14	Use Non-Individual AOF for opening Partnership firm & HUF Account
15	Mode of operation should be jointly by all if account is being opened in more than one Partner and Joint certification require on through out AOF & all supporting documents.
16	HUF declaration to be filled in case HUF account only.
17	In case Un-registered Trust, Demat account will be opened in the name upto three trustees
18	Appointment letter or Supplementary trust Deed is required as per the rules and regulations in the TRUST DEED, in case if names of trustees are not reflecting in the TRUST DEED.
19	For Un-registered Trust , Declaration from all the trustees required stating that only securities belonging to the Trust will be held / transacted in this Account ( Part of Trust resolution )
20	In case Registered Trust, Demat account will be opened in the name of Trust
21	For Registered Trust - Certified true copy of Registration certificate issued by Statutory authorities under the provisions of the The Indian Societies Registration Act, 1860 or under the provisions of a state Act such as Bombay Public Trust Act, 1950 or the relevant State Public Trust Act. If certificate under above mentioned Act is not available, a certificate obtained by the client as per Section 12AA of Income Tax Act, 1961 need to be obtained along with certified copy of the latest income tax returns filled by the trust
22	For Registered Society - Certified true copy of Certificate of Registration issued by the authority under provisions of The Indian Society Registration Act, 1860 is required
23	For foreign body corporate account - Indian Bank account (INR) cannot be linked for dividend purpose unless there is specific RBI approval
24	PROVIDENT FUND / GRATUITY FUND / SUPER ANNUATION FUND (i.e. Terminal Benefits Funds) - Certified true copy of Certificate of Recognition certificate issued by Income Tax authorities or Regional Provident Fund Commissioner is required
25	For co-operative society - Certified true copy of Certificate of Registration issued by the authority under provisions of The Indian Societies Registration Act, 1860 is required
26	AOF and supporting documents to be signed under the Rubber seal of the Company
27	DIN numbers of wholetime directors / two directors in charge of day to day operations is require

Sr No	IMPORTANT POINT FOR TRADING ACCOUNT OPENING
1	Partnership Firm / Trust / LLP has to be REGISTERED ( MANDATORY )
2	Partnership Firm / Trust / LLP will be opened as per Entity name.
3	Enabling clause (permitting the company to invest/trade in shares and securities) in the MOA / partnership Deed / Trust Deed to be highlighted/ticked.
4	Copies of Audited balance sheet and Profit & Loss a/c statement for the last 2 financial years to be submitted. (Copies of annual balance sheet submitted every year ) If company is newly formed then letter to be taken declaring the same and non-availability of Financials.
5	Trading ( Netbanking ) Board Resolution is required on letterhead (as per format provided ) To be signed by the directors (director cannot authorize himself). Authorized signatory's Cust ID in Company's Current A/c is to be mentioned in the resolution. Board Resolution has to be dated.
6	Company can nominate any one of the authorised signatory for providing financial rights through net banking.
7	DIN numbers of wholetime directors / two directors in charge of day to day operations is require.
8	Authorization from partners to authorize any of the partners for operating the trading account with HDFC Securities Ltd for partnership / LLP account
9	Resolution of Trustees for opening a Trading Account and approving participation in equity/derivatives/debt trading through HDFC Securities Ltd. And naming authorized person dealing in securities is required for Trust account.
10	Form 'A' OR whatever name called – which specifies the details of partner submitted at the time of registration of firm to be submitted for partnership firm account
11	Foreign Body Corporate and AIF not applicable for trading

#### 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 asset 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).

Application Form (Please tick relevant boxes):  2 in 1 form (Trading + DP)  1 in 1 form (only Trading)  Standalone DP

LG Code      LC Code      Source Code

Branch Inward Stamp &  
Authorised Signatory with  
Stamp

CPU Inward Stamp &  
Authorised Signatory with  
Stamp

## INDEX

Name of the document	Brief Significance of the document	Section	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	PART A	3
	B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list. (PART II)	PART A	7
	C. Additional details required for operating DP account	PART A	5
Rights and Obligations (Trading)	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges(including additional rights & obligations in case of internet / wireless technology based trading).	PART B	1
Rights and Obligations (Demat)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	PART A	15
Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	7
Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	PART B	11
Policies and Procedures	Document describing significant policies and procedures of the stockbroker	PART B	14
Tariff sheet (Trading)	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	PART B	19
Tariff Sheet (Demat)	Document detailing the standard demat charges and Basic Services Demat a/c (BSDA) charges(if opted)	PART A	6 & 16
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
DDPI + Bank Mandate + Master Mandate	Document required for linkage of Bank and demat account for experience of seamless trading in securities / order placement	PART A	11
Additional Non mandatory Rights & Obligations	Confirmation of Additional Rights and Obligations for seamless trading experience	PART A	2
Running Account Authorisation	Authorisation from client on maintenance of the funds / securities balances on running basis	PART A	2
Other Consent	Consent for Margin Trading facility and to receive commercial call and/or sms	PART A	2

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

Ph.: (022) 3075 3400 Fax : (022) 3075 3435 Website: www.hdfcsec.com (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:** Mr. Murl V Karkera, (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.
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	
NSDL DP ID	IN304279	
CDSL DP ID	12086700, 12095000	
SEBI DP Registration No.	IN-DP-372-2018	

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

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 (lying in Client Collateral Account/ Collateral Account) 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 (lying in Client Collateral Account/ Collateral Account) 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 / or Whatsapp 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

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

S3

X Signature of Client

### 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

### SCHEDULE OF CHARGES (TRADING)

I/We have read and understood the features of the scheme and agreed to the below

A/C opening scheme  Charges

Payment Mode  Cheque no.  Bank A/C No.

Bank Name  Date

Direct debit from my link HDFC Bank account

None

S5

X Signature of Client

All mandatory fields are marked in \*. Please fill this form in ENGLISH and in BLOCK LETTERS. Strike off whichever is not applicable" and "For any corrections/ overwriting kindly do counter sign. Select appropriate check box wherever applicable. Whitener should not be used for correction

KYC No. (if Available)

**A. Identity Details**

Name of the Applicant\*:

Date of Incorporation\*:  D  D  M  M  Y  Y  Y  Y  Date of Commencement of Business\*:  D  D  M  M  Y  Y  Y  Y

Place of Incorporation\*:  Country of Incorporation\*:

PAN\*:  TIN Or Equivalent Issuing Country:

Registration No. e.g (CIN)\*:

TIN Reg No:

Status\*:  
(please tick any one)  Private Ltd Co.  Public Ltd Co.  Partnership Firm  LLP  Society  Trust  AOP  Bank  FPI  
 Govt Body  Foreign Body Corporate  AIF  HUF  BOI  Non Govt Org  FI  FI  
 Defence Establishment  Other (Please Specify \_\_\_\_\_)

**B. Address Details**

Address for Correspondence\*

Landmark \*

City/Town/Village\*  State:

Country\*  Pin Code \*

Specify the proof of address submitted for Correspondence address:

Contact Details\* Tel. Office:  Fax No.:   
Country code STD CODE TEL

Mobile No. 1 \*  Mobile No. 2:   
Country code Mobile No. Country code Mobile No.

Email ID 1 \*

Email ID 2:

Registered Address Same as above  Yes  No

(if different from above)

Landmark \*

City/Town/Village \*

Country\*  State:

Pin Code \*

Specify the proof of address submitted for registered address:

**Declaration**

- I/ We declare that the details furnished above are true and correct to the best of my 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 /Weam/are aware that I may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number / email address.

S5

Authorised Signatory Sign with Company Seal

Authorised Signatory Sign with Company Seal

Authorised Signatory Sign with Company Seal

Date:  D  D  M  M  Y  Y  Y  Y

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

FOR OFFICE USE ONLY

\*Originals Verified and self attested document copies received  
KYC verification for Legal Entity and related person carried out by  
Name & Emp Code of Bank Staff \_\_\_\_\_

Designation: \_\_\_\_\_ Br. Code

Name of the organisation/Institution: **HDFC Securities Ltd.**

Signature of the Authorised Signatory \_\_\_\_\_

Date:  D  D  M  M  Y  Y  Y  Y



Note: For HSL Trading Account, name of the customer will be consider as name available in income tax database

No. of related person UDN **DETAIL OF RELATED PERSON 1**KYC Number of Related Person (If available) 

Related Person Type  Director#  Promoter  Karta  Trustee  Partner  Court Appointment Official  Proprietor  
 Beneficiary  Authorised Signatory  Beneficial Owner  Power of Attorney Holder  Other (Please Specify \_\_\_\_\_)

DIN (Director Identification Number)#  (Mandatory if Related Person Type is Director)**PERSONAL DETAILS**

Prefix	First Name	Middle Name	Last Name
Name* (Same as ID Proof)			
Father / Spouse Name			
Mother Name*			
Maiden Name (If available)			
Date of Birth*	D D M M Y Y Y Y	Gender* <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Third Gender	
Nationality*		PAN* <input type="text"/>	<input type="checkbox"/> Form 60 Furnished

POLITICALLY EXPOSED PERSON:  Yes  No Politically exposed person are individuals who are or have been entrusted with prominent public function in India or in foreign country, eg. Heads of States or of Governments, senior government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc

**PROOF OF IDENTITY AND ADDRESS**

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

A-Passport  B-Voter ID Card  C-Driving Licence  D-NREGA Job Card  
 E-National Population Register Letter  F-Proof of Possession of Aadhaar with Non-DBT Aadhaar consent

ID Card No  Expiry Date II. eKYC Authentication III Offline verification of Aadhaar        

Please affix your recent passport size photograph

Signature across with seal

**Correspondence Address\***

Flat No & Bldg Name			
Road No/Name*			
Landmark / Area			
City / Town*		Country	Pin Code
State*			
Email ID*			
Mobile No.*			

**Permanent Address\***  Please tick, if permanent address is same as correspondence address

Flat No & Bldg Name*			
Road No/Name*			
Landmark / Area*			
City / Town*		Country	Pin Code
State*			

**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 misrepresneting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: 

S6

Authorised Signatory Sign with Company Seal



UDN

DETAIL OF RELATED PERSON 2

KYC Number of Related Person (If available)

Related Person Type: Director#, Promoter, Karta, Trustee, Partner, Court Appointment Official, Proprietor, Beneficiary, Authorised Signatory, Beneficial Owner, Power of Attorney Holder, Other (Please Specify)

DIN (Director Identification Number)# (Mandatory if Related Person Type is Director)

PERSONAL DETAILS

Form with fields for Name\* (Same as ID Proof), Father / Spouse Name, Mother Name\*, Maiden Name (If available), Date of Birth\* (DDMMYYYY), Gender\* (Male, Female, Third Gender), Nationality\*, PAN\*, Form 60 Furnished

POLITICALLY EXPOSED PERSON: Yes No Politically exposed person are individuals who are or have been entrusted with prominent public function in India or in foreign country, eg. Heads of States or of Governments, senior government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc

PROOF OF IDENTITY AND ADDRESS

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A-Passport, B-Voter ID Card, C-Driving Licence, D-NREGA Job Card, E-National Population Register Letter, F-Proof of Possession of Aadhaar with Non-DBT Aadhaar consent

ID Card No Expiry Date (DDMMYYYY)

II. eKYC Authentication

III Offline verification of Aadhaar (XXXXXX)

Please affix your recent passport size photograph. Signature across with seal

Correspondence Address\*

Form with fields for Flat No & Bldg Name, Road No/Name\*, Landmark / Area, City / Town\*, State\*, Email ID\*, Mobile No.\*, Country, Pin Code

Permanent Address\* Please tick, if permanent address is same as correspondence address

Form with fields for Flat No & Bldg Name\*, Road No/Name\*, Landmark / Area\*, City / Town\*, State\*, Country, Pin Code

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 misrepresneting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

S6 Authorised Signatory Sign with Company Seal

Date: (DDMMYYYY)

UDN

DETAIL OF RELATED PERSON 3

KYC Number of Related Person (If available)

Related Person Type: Director#, Promoter, Karta, Trustee, Partner, Court Appointment Official, Proprietor, Beneficiary, Authorised Signatory, Beneficial Owner, Power of Attorney Holder, Other (Please Specify)

DIN (Director Identification Number)# (Mandatory if Related Person Type is Director)

PERSONAL DETAILS

Form with fields for Name\* (Same as ID Proof), Father / Spouse Name, Mother Name\*, Maiden Name (If available), Date of Birth\* (DDMMYYYY), Gender\* (Male, Female, Third Gender), Nationality\*, PAN\*, Form 60 Furnished

POLITICALLY EXPOSED PERSON: Yes No Politically exposed person are individuals who are or have been entrusted with prominent public function in India or in foreign country, eg. Heads of States or of Governments, senior government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc

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- A-Passport, B-Voter ID Card, C-Driving Licence, D-NREGA Job Card, E-National Population Register Letter, F-Proof of Possession of Aadhaar with Non-DBT Aadhaar consent

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III Offline verification of Aadhaar (XXXXXX)

Please affix your recent passport size photograph. Signature across with seal

Correspondence Address\*

Form with fields for Flat No & Bldg Name, Road No/Name\*, Landmark / Area, City / Town\*, State\*, Email ID\*, Mobile No.\*, Country, Pin Code

Permanent Address\* Please tick, if permanent address is same as correspondence address

Form with fields for Flat No & Bldg Name\*, Road No/Name\*, Landmark / Area\*, City / Town\*, State\*, Country, Pin Code

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 misrepresneting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

S6 Authorised Signatory Sign with Company Seal

Date: (DDMMYYYY)

**Please tick mandatorily**  NSDL  CDSL  UCC

Exchange Name & ID

Client ID (To be filled by DP)  Date

We request you to open a depository account in our name as per the following details: (Please fill all the details in CAPITAL LETTERS only)

**Details of A/C holders\***

Entity / First Holder Name

PAN  UCIC ID

Second Holder Name

PAN  UCIC ID

Third Holder Name

PAN  UCIC ID

**GST Identification Number**

**Type of Account\***

Body Corporate  FI  FII  Bank  Mutual Fund  TRUST  CM

Qualified Foreign Investor  HUF  Other (Please specify) \_\_\_\_\_

In case of Companies  Companies having close family shareholdings or beneficial ownership  Companies offering Foreign exchange offerings

In case of FIIs/Others (as may be applicable)  Non face to face clients

RBI Approval Reference Number  Date

SEBI Registration Number (for FIIs)

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

Name

PAN Number

**Financial Details\***

Gross Annual Income Details: (Income Range per annum)

**NSDL** Below Rs. 20 lacs  Rs. 20 lacs to Rs. 50 lacs  Rs. 50 lacs to Rs. 1 crore  More than Rs. 1 crore

**CDSL** Below Rs. 1 lac  Rs. 1 lac to Rs. 5 lacs  Rs. 5 lac to Rs. 10 lac  Rs. 5 lac to Rs. 10 lac

Rs. 10 lacs to Rs. 25 lacs  Rs. 25 lacs to Rs. 1 crore  More than Rs. 1 crore

Legal Entity No. (LEI No.): \_\_\_\_\_ Net Worth Amount (₹ \_\_\_\_\_) As on date

(Net worth should not be older than 1 year)

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

**Bank Details\*** (Mandatory for the Sole/First Demat account holder for receiving credit of Dividend/Interest)

Bank Account Type:  Saving Account  Current Account  Other (please specify) \_\_\_\_\_

Bank Account No.

RTGS / NEFT / IFSC Code:

MICR Code :  (Please attach photocopy of Blank / Cancelled Cheque to verify the 9 digit MICR code (For HDFC Bank & NON HDFC A/C's only))

Bank Name :

Branch Address :  Branch Code

Building/Tower/Apartment/Palace/Chamber/Mansion/Street/Road/Marg/Lane/Avenue/Rasta

City/Town/Village

State  Pin Code (Mandatory)

Country



**Terms & Conditions**

1. I/We agree to discontinue the Physical Statements in case electronic form option is opted.
2. I/We understand that the email statements are for my/our convenience. HDFC Securities shall not be liable or responsible for any breach of secrecy because the statements are being sent to the email ID.
3. I/We shall verify the authenticity of the emails I/We receive. I/We shall not hold the HDFC Securities responsible for any statement received from frauds/imposters. I/We shall not hold the HDFC securities liable if any problem arises with my/our computer network because of me/ us receiving statements from the Bank.
4. I/We are authorised by the other holders to receive the Statements to the email address.
5. I/We shall inform the Bank in writing if there is any change in the email address.
6. HDFC Securities shall not be responsible if I/we do not receive statement due to incorrect email address and technical reasons.
7. I/We confirm to have read and understood the Terms & Conditions (a copy of which I am in possession of) pertaining to my account.
8. I/We understand and agree that the email statements will only be sent to the First holder in the account.
9. I/We am/ are aware that I/ we will not receive the transaction statements in paper form.
10. I/ We will take all necessary steps to ensure confidentiality and secrecy of the login name and password of internet / email Account.
11. I/ We am / are aware that the transaction statement be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.
12. Participant or Client can terminate such arrangement by giving 10 days prior notice.

**Declaration**

The Rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it.

I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant

**Debit Authorisation\***

Authorised for Debiting the Current Account & Undertaking for the Payment of Interest In case of occurrence of Debit Balances (Corporate /CM)

We, \_\_\_\_\_  
a company incorporated and registered under the laws of, its Registered Office at \_\_\_\_\_, having \_\_\_\_\_

\_\_\_\_\_ (hereinafter) referred to as the "Company" which expression shall, unless it be repugnant to the Context or meaning thereof, mean and including its successors in title) maintain a Current Account (the Current Account) with hereinafter called "the Bank" (which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors in title) at its \_\_\_\_\_ (Name and Address of the Branch) and

the Current Account No. is

The Company hereby authorise the Bank to debit all types of Bank charges / commission / fees ("Service Charges") payable by me / us to the Current Account. The Company hereby undertake that sufficient balances shall be maintained in the Current Account to facilitate the debiting of Service Charges. The failure on part of the Company to maintain sufficient balance in the Current Account shall not in any way impair the right of the Bank to debit the Service Charges. The Company hereby further authorise the bank to charge any interest on debit balance in the Current Account due to the debiting of Service Charges. The Bank shall not be obliged to provide overdraft facility on the Current Account but for towards the debiting of Service Charges payable by the company. The Company specifically agrees 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.

**Mode of Operation for Sole/First Holder\*** (In case of joint holdings, all the holders must sign. In case of HUF, Karta's signature required with HUF Stamp)

<input type="checkbox"/>	Any one singly / Karta of HUF
<input type="checkbox"/>	Jointly by
<input type="checkbox"/>	As per resolution
<input type="checkbox"/>	Others (please specify)

**Notes:**

1. In case of additional signatures, separate annexures should be attached to the application form.
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. For receiving Statement of Account in electronic form: I. Client must ensure the confidentiality of the password of the email account. II. Client must promptly inform the Participant if the email address has changed. III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice. 4. Strike off whichever is not applicable.

For Branch Use	For DPCPU USE																																		
<p><b>Sign verified by Branch Officer:</b> Name: _____</p> <p>EMP Code: _____</p> <div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px 0;"></div> <p style="text-align: center; color: blue;">Signature</p> <div style="border: 1px solid black; border-radius: 50%; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center; margin: 10px 0;"> <p style="color: blue;">Branch Seal</p> </div>	<table border="1" style="width: 100%;"> <tr> <td style="width: 20%;">Rate ID</td> <td style="width: 20%;"><input type="text"/></td> <td style="width: 20%;">Bk. Sys.</td> <td style="width: 20%;"><input type="text"/></td> <td rowspan="3" style="background-color: #003366; color: white; writing-mode: vertical-rl; text-orientation: mixed;"><b>RISK CATEGORY</b></td> <td style="width: 20%;">1st holder</td> <td style="width: 10%;"><input type="checkbox"/></td> <td style="width: 10%;">High</td> <td style="width: 10%;"><input type="checkbox"/></td> <td style="width: 10%;">Medium</td> <td style="width: 10%;"><input type="checkbox"/></td> <td style="width: 10%;">Low</td> </tr> <tr> <td>Group ID</td> <td><input type="text"/></td> <td>Br. Code</td> <td><input type="text"/></td> <td>2nd holder</td> <td><input type="checkbox"/></td> <td>High</td> <td><input type="checkbox"/></td> <td>Medium</td> <td><input type="checkbox"/></td> <td>Low</td> </tr> <tr> <td>Client ID</td> <td><input type="text"/></td> <td>Prod. Code</td> <td><input type="text"/></td> <td>3rd holder</td> <td><input type="checkbox"/></td> <td>High</td> <td><input type="checkbox"/></td> <td>Medium</td> <td><input type="checkbox"/></td> <td>Low</td> </tr> </table>	Rate ID	<input type="text"/>	Bk. Sys.	<input type="text"/>	<b>RISK CATEGORY</b>	1st holder	<input type="checkbox"/>	High	<input type="checkbox"/>	Medium	<input type="checkbox"/>	Low	Group ID	<input type="text"/>	Br. Code	<input type="text"/>	2nd holder	<input type="checkbox"/>	High	<input type="checkbox"/>	Medium	<input type="checkbox"/>	Low	Client ID	<input type="text"/>	Prod. Code	<input type="text"/>	3rd holder	<input type="checkbox"/>	High	<input type="checkbox"/>	Medium	<input type="checkbox"/>	Low
Rate ID	<input type="text"/>	Bk. Sys.	<input type="text"/>	<b>RISK CATEGORY</b>	1st holder		<input type="checkbox"/>	High	<input type="checkbox"/>	Medium	<input type="checkbox"/>	Low																							
Group ID	<input type="text"/>	Br. Code	<input type="text"/>		2nd holder		<input type="checkbox"/>	High	<input type="checkbox"/>	Medium	<input type="checkbox"/>	Low																							
Client ID	<input type="text"/>	Prod. Code	<input type="text"/>		3rd holder	<input type="checkbox"/>	High	<input type="checkbox"/>	Medium	<input type="checkbox"/>	Low																								

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

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		Fees	
1	Account opening		Nil			
2	AMC		Holding Value between 0 to 50,000 - NIL AMC Holding Value between 50,001 to 2 Lacs - Rs. 100 p.a.			
3	Dematerialization	Certificate + Dematerialisation request	Rs. 5/- per certificate + Rs. 35/- per request or min. Rs.40/-			
4	Rematerialization	Rematerialisation Request	Rs 30/-per request +NSDL /CDSL actuals, Currently A)Rs 10/- for every hundred securities or part thereof or B) a Flat fee of Rs 10/- per certificate whichever is higher (Min Rs. 40/- and Max Rs. 5 lacs)			
5	Debit transaction charges (Equity/Equity MF) (Market/Off - Market)	On Market	0.04% of the value of txn or Rs. 20/- whichever is higher			
		Off Market	0.04% of the value of txn or Rs. 20/- whichever is higher			
6	Debit transaction charges (Debt/Debt MF) (Market/Off - Market)	On Market	0.04% of the value of txn or Rs. 20/- whichever is higher (Max Rs. 5000)			
		Off Market	0.04% of the value of txn or Rs. 20/- whichever is higher (Max Rs. 5000)			
7	Credit Transaction		NIL			
8	Pledge Services (Creation / Invocation / Closure)		0.04% or Rs. 40/- whichever is higher Margin Pledge in Favor of HDFC Securities Limited - Rs. 10/- per transaction Margin Funding Pledge in Favor of HDFC Securities Limited - Rs. 20/- per transaction			
9	Courier charges per Demat/Remat request	Inland Address	Rs. 35/- per request			
		Foreign Address	Rs. 500/- per request			
10	Delivery Instruction Booklet		Rs. 75/- per booklet (5 leaves)			

**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/POA 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 HSL sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days and would be made available on my/our website
- \*\*\* The Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. (For more details, kindly refer our website www.hdfcsec.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 HSL 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 HSL 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.

**Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)**

**Acknowledgment / Consent For Additional Rights & Obligations**

- 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. Debit Authorisation and Declaration
  4. Aadhaar
  5. Financial Details
  6. FATCA Declaration
  7. Additional R&O(DDPI)

Sole/First Holder	Name	Signature(s)
First Signatory / Karta of HUF		S7
Second Signatory		
Third Signatory		
<b>Other Holders</b>		
Second Holder		
Third Holder		





UDN

ADDITIONAL DETAILS: I/we wish to receive  Electronic Contract Note (ECN) OR  Physical contract note (PCN)  
E-mail ID for ECN

I wish to avail of the facility of internet trading/ wireless technology:  Yes If No, Please Specify: \_\_\_\_\_  
Number of years of Investment/Trading Experience:  No prior Experience  Stock  Derivatives  
 Other investment related field Any other information: \_\_\_\_\_  
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 D D M M Y Y Y Y *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

**DECLARATION**

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

S13  
Authorised Signatory with Company Seal

Place : \_\_\_\_\_ D D M M Y Y Y Y

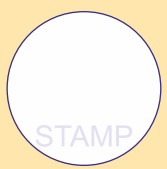
**FOR OFFICE USE ONLY (LC to fill details and Sign)**

UCC Code allotted to the Client: \_\_\_\_\_

Documents verified with Originals and In-Person Verification done by	Client Interviewed By
Employee Name _____ Emp. Code _____ Designation _____ Date D D M M Y Y Y Y Signature of Authorised Signatory	_____ Designation _____ D D M M Y Y Y Y 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: D D M M Y Y Y Y



X Signature of Authorised Signatory with Company Seal

# Extended Declaration For Non-Individual Entities (FATCA Annexure)

Date:

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

UDN

**All Questions from 1 to 5 are mandatory**

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

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

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

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

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

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

## FATCA-CRS terms & conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with HDFC Bank or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

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

**Certification** Under penalty of perjury, I/we certify that:

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

Name:

Designation:

Signature:

**S14**

Authorised Signatory  
Sign with Company Seal

Date:

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

**For Bank use only:**

Sourcing Branch Name:  Branch Code:

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

Employee Name:

Date:

### FATCA : Annexure – 1

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

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

Name of Entity

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

Select ID Type  CIN  Global Entity Identification Number  TIN  Other \_\_\_\_\_

Provide the ID Number for above

b) Identification Number issuing country

#### Address and Contact Details (Mandatory)

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

8. Address type for the above  Residential or business  Residential  Business  Registered Office

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

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

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

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

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

11. Entity FATCA classification and other details (Mandatory)

#### 11(A) - (to be filled by Financial Institutions or Direct Reporting NFEs)\* - please fill if answer to Q.5(b) is YES

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

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

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

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

7 Entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:  
 (i) the three-year period ending on 31 March of the year preceding the year in which the determination is made; or  
 (ii) the period during which the entity has been in existence.

8 Refer 2c of Part C

9 Refer 3(ii) of Part C

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

1	Name of the controlling person (mandatory)		
2	Entity Type (mandatory)	<input type="checkbox"/> Pub/Pvt Co. <input type="checkbox"/> LLP <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Society <input type="checkbox"/> Club <input type="checkbox"/> HUF <input type="checkbox"/> Bank <input type="checkbox"/> Insurance <input type="checkbox"/> SHG <input type="checkbox"/> Foreign Bodies <input type="checkbox"/> NGO <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Government	
3	Controlling person type code (mandatory)		
4	Date of birth (mandatory)		
5	PAN (mandatory)		
6	Customer ID (if available)		
7	Percentage of ownership/capital/profits (mandatory)		
8	Place / City of Birth (mandatory)		
9	Country of Birth (mandatory)		
10	Gender (mandatory)	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Third Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Third Gender
11	Marital Status (mandatory)	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others
12	Father's name (mandatory)		
13	Nationality (Please specify country) (mandatory)		
14	Adhaar No (Optional)		
15	Mother's Name (optional)		
16	Maiden Name (if any)		
17	Country of tax residence* (Mandatory)		
18	Tax identification number (or functional equivalent of country other than India) %		
19	Tax identification number type (for country other than India)		
20	Address (Mandatory)		
	Address - City (Mandatory)		
	Address - State (Mandatory)		
	Address - Country (Mandatory)		
	Address - Pin Code (Mandatory)		
21	Address Type for above (Mandatory)	<input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
22	Mobile Number (Mandatory)		
23	Telephone Number (with ISD & STD code)		
24	Occupation Type (Mandatory)	<input type="checkbox"/> S - Service Provider <input type="checkbox"/> O - Others <input type="checkbox"/> B-Business <input type="checkbox"/> X - Not Categorized	<input type="checkbox"/> S - Service Provider <input type="checkbox"/> O - Others <input type="checkbox"/> B-Business <input type="checkbox"/> X - Not Categorized
25	Proof of Identity@ (Mandatory) (Tick relevant and mention the details)	<input type="checkbox"/> Passport No. <input type="checkbox"/> Voter ID No. <input type="checkbox"/> Driving License No. <input type="checkbox"/> Aadhaar No. <input type="checkbox"/> NREGA Job Card No. <input type="checkbox"/> Any other Government Issued Doc <input type="text"/> Expiry Date <input type="text"/> Mention ID no <input type="text"/>	<input type="checkbox"/> Passport No. <input type="checkbox"/> Voter ID No. <input type="checkbox"/> Driving License No. <input type="checkbox"/> Aadhaar No. <input type="checkbox"/> NREGA Job Card No. <input type="checkbox"/> Any other Government Issued Doc <input type="text"/> Expiry Date <input type="text"/> Mention ID no <input type="text"/>
26	Proof of Address (Mandatory) (attach self attested proof) (any one) (Please select any one Address proof )	<input type="checkbox"/> Passport No. <input type="checkbox"/> Voter ID No. <input type="checkbox"/> Driving License No. <input type="checkbox"/> Aadhaar No. <input type="checkbox"/> NREGA Job Card No. <input type="checkbox"/> Any other Government Issued Doc <input type="text"/>	<input type="checkbox"/> Passport No. <input type="checkbox"/> Voter ID No. <input type="checkbox"/> Driving License No. <input type="checkbox"/> Aadhaar No. <input type="checkbox"/> NREGA Job Card No. <input type="checkbox"/> Any other Government Issued Doc <input type="text"/>
27	Spouse's name (Optional)		

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

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

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

Name of Director/Partner/Member/Trustee

**S15**

Signature & seal of any of the  
Directors/Partners/Members/Trustees

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

- i. **Depository institution:** is an entity that accepts deposits in the ordinary course of banking or similar business.
- ii. **Custodial institution** is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of
  - a. The three financial years preceding the year in which determination is made; or
  - b. The period during which the entity has been in existence, whichever is less.
- iii. **Investment entity is any entity:**
  - a. That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    - i. Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
    - ii. Individual and collective portfolio management; or
    - iii. Investing, administering or managing funds, money or financial asset or money on behalf of other persons ;
  - or**
  - b. The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above. An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:
    - i. the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
    - ii. the period during which the entity has been in existence.

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

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

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

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

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

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

Types of NFEs that are regarded as excluded NFE are:

- a.. Publicly traded company (listed company)  
A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)
- b. Related entity of a publicly traded company  
The NFE is a related entity of an entity of which is regularly traded on an established securities market;
- c. Active NFE : (is any one of the following):

Code	Sub-Category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;



Code	Sub-Category
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	<p><b>Any NFE that fulfills all of the following requirements:</b></p> <p>It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</p> <p>It is exempt from income tax in India;</p> <p>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</p> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</p> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <p>(I) an Investor Protection Fund referred to in clause (23EA);</p> <p>(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</p> <p>(III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;</p>

### 3 Other Definitions

<p>(i) Related entity</p> <p>An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.</p>
<p>(ii) Passive NFE</p> <p>The term passive NFE means</p> <p>(a) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or</p> <p>(b) an investment entity defined in clause 1 (iii)(b) of these instructions which is not located in any of the jurisdictions specified by the Central Board of Direct Taxes in this behalf.</p> <p>(c) not a withholding foreign partnership or withholding foreign trust;</p> <p>(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)</p>
<p>(iii) Passive income</p> <p>The term passive income includes income by way of :</p> <p>(1) Dividends,</p> <p>(2) Interest</p> <p>(3) Income equivalent to interest,</p> <p>(4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE</p> <p>(5) Annuities</p> <p>(6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income</p> <p>(7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,</p> <p>(8) The excess of foreign currency gains over foreign currency losses</p> <p>(9) Net income from swaps</p> <p>(10) Amounts received under cash value insurance contracts But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.</p>
<p>(iv) Controlling persons</p> <p>Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.</p> <p>Pursuant to guidelines on identification of Beneficial Ownership issued vide RBI circular no. DBOD.AML.BC. No.71/14.01.001/2012-13 dated January 18, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:</p> <ol style="list-style-type: none"> <li>More than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;</li> <li>More than 10% of the capital or profits of the juridical person, where the juridical person is a partnership; or</li> <li>More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.</li> </ol> <p>iv. Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the Author/Settlor/Grantor of the trust and the trustee, and the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.</p> <p>Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the Author/Settlor/Grantor of the trust and the trustee, and the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.</p>

Note -Where no natural person is identified is the relevant natural person who holds the position of senior managing official

Type of Legal Entity	Controlling Person Type	Controlling Person Type Code	Permissible Values / Details
Partnership Firms / LLP	Owners / (Partners)	C01	C01 CP of legal person-ownership
	Senior Managing officials	C03	C03 CP of legal person-senior managing official
Pvt Ltd / Public Ltd Companies	Owners/ Directors	C01	C01 CP of legal person-ownership
	Senior Managing officials	C03	C03 CP of legal person-senior managing official
Society	Members / Committee members	C01	C01 CP of legal person-ownership
	Senior Managing officials	C03	C03 CP of legal person-senior managing official
Association of Person	Owners (Members)	C01	C01 CP of legal person-ownership
	Others	C03	C03 CP of legal person-senior managing official
Trust	Trustee	C05	C05 CP of legal arrangement--trust-trustee
	Beneficiaries	C07	C07 CP of legal arrangement--trust-beneficiary
	Settler	C04	C04 CP of legal arrangement--trust-settlor
	Others	C08	C08 CP of legal arrangement--trust-other
Company Us 8/25	Owners/ Directors	C01	C01 CP of legal person-ownership
	Senior Managing officials	C03	C03 CP of legal person-senior managing official

**A. Controlling Person Type:**

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

- (v) Specified U.S. person– A U.S. person other than the following:
- (a) a corporation the stock of which is regularly traded on one or more established securities markets;
  - (b) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
  - (c) the United States or any wholly owned agency or instrumentality thereof;
  - (d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
  - (e) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
  - (f) any bank as defined in section 581 of the U.S. Internal Revenue Code;
  - (g) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
  - (h) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
  - (i) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
  - (j) any trust that is exempt from tax under section 664© of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
  - (k) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
  - (l) a broker as defined in section 6045© of the U.S. Internal Revenue Code; or
  - (m) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

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

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

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

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





## Bank Mandate Letter and Instructions

1. I/We, the Client / Joint Account Holders, mandate and instruct HDFC Bank, acting through any of its officers or employees:
  - a. To block, hold and/or create / mark a lien, charge or hypothecation on one or more of the Associated Bank Accounts or all or any of the money therein including in the internal systems of the Bank, 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 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 otherwise or in accordance with the instructions of HDFC Securities.
  - b. To transfer any money from any Associated Bank 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, 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 further, that any funds 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, instruments, cheques, drafts, slips, receipts and other instruments and writings which are necessary or advisable for performing all or any of the mandate and instructions hereby conferred.
  - d. To apply for, purchase, redeem and/or sell in any other manner acquire or dispose of 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, , currency derivatives, interest rate derivatives, 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.
  - e. To receive and hold certificates, title documents, deposit receipts, account statements and other documents and writings pertaining to 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 sign and endorse all such application forms, transfer deeds, deposit receipts, redemption requests, 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 mandate and instructions.

- g. 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 mandate conferred 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 mandate and instructions 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 mandate and instruct HDFC Bank to, from time to time and without requiring my/our further instructions or consent (this writing constituting my/our consent).

For the purpose of the above mandate and instructions, the Joint Account Holders are instructing HDFC Bank and HDFC Securities : (i) The Joint Account Holders of any Associated Bank Account(s) shall at all times make available sufficient funds in the Associated Bank 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 Bank Account and/ or Associated Demat 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 mandate exercisable by HDFC Bank hereunder or which would be contrary to the provisions of the Account Opening Documentation or any acts by HDFC Bank pursuant to the above. (ii) The Joint Account Holders of any Associated Bank Account(s) agree that (a) instructions given by the Client to HDFC Bank to block funds in or to transfer funds from an Associated Bank 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 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 money in any Associated Bank 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 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 money to HDFC Securities account; In case of death, disability, winding up or liquidation of any Joint Account Holder, HDFC Bank shall be entitled to immediately freeze the Associated Bank Accounts, and the mandate, 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.

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 in the systems 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 Bank Accounts on the previous day and HDFC Bank would not permit blocking/transfer of any other action in respect of funds which have come to the credit of the Associated Bank Accounts on the current day.

This mandate 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 mandate and instructions granted hereunder shall continue until all transactions and instructions already executed or issued in pursuance of this mandate and all outstandings towards HDFC Bank have been settled.

I/We the Client and the other account holders have hereby executed this mandate and instruction at \_\_\_\_\_ on the \_\_\_\_\_ day of 20\_\_\_\_.

List of HDFC Securities Ltd. bank accounts where funds can be moved w.e.f. October 01, 2019.

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, 57500000389146, 00990610005906	

### ASSOCIATED BANK ACCOUNT DETAILS:

HDFC BANK A/C	
Account Type	
Customer / UCIC ID	
Branch	

S19		
Signature 1st holder	Signature 2nd holder	Signature 3rd holder
Name of 1st holder	Name of 2nd holder	Name of 3rd holder
Constitution of 1st holder	Constitution of 2nd holder	Constitution of 3rd holder
Address of 1st holder	Address of 2nd holder	Address of 3rd holder
Address of 1st holder	Address of 2nd holder	Address of 3rd holder

## DRAFT OF RESOLUTION (ON LETTER HEAD)(NON HDFC Bank)

Certified true copy of the resolution passed at the meeting of the Board of Directors/ Trustees/Partners (in case of Company/ Partnership Firm/ Trust/Committee of club / AOP/Society)\_\_\_\_\_ Fund Trust held on \_\_\_\_\_.

The Board of Trustees took up for discussion a proposal for availing e-broking facility provided by HDFC Securities Ltd. The Managing Trustee informed the Board/Managing Committee that the Trust already has a depository account as well as current account with HDFC Bank and it would be in the interest of the Company to avail the aforesaid facility of e-broking.

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

"RESOLVED THAT the consent of the trustees be and is hereby given for

1) Opening and availing the e-broking facility provided by HDFC Securities Ltd.

RESOLVED FURTHER THAT any of the following two trustees of the Trust, jointly who are also authorized signatory for the Saving/current and Depository account maintained by the Trust with the Bank, be and are hereby authorized for the aforesaid e-broking facility, placing orders and making investment on behalf of the trust:

Sr.No.	Name of the authorize person	Designation
1.		
2.		
3.		

RESOLVED FURTHER THAT the necessary credit and debit in respect of funds and/or securities for the trades executed on behalf of the Trust be done in the following bank and depository accounts.

Name of Bank and Address	Type of account	Account No.

Name of Depository Participant	DP ID	Account No.

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

RESOLVED FURTHER THAT the consent of the Board be and is hereby given to all the terms and conditions contained in Application form including the Rights & Obligations which form part of the form.

RESOLVED FURTHER THAT any two of the aforesaid Trustees be and are hereby jointly and or severally authorized to apply to HDFC Bank Limited and HDFC Securities Limited for and on behalf of the Trust and to operate the aforesaid account through e-broking.

RESOLVED FURTHER THAT any two of the aforesaid Trustees be and are hereby jointly authorized to sign all the necessary forms, deeds, applications, Indemnity Bonds, Affidavit, DDPI + Bank Mandate + Master Mandate, returns and any other document as may be directed by the HDFC securities Ltd/HDFC Bank and to do all such acts, deeds and things as may be necessary to give effect to this Resolution."

Certified to be true

For (Name of Trust account)

Trustee Trustee

Date:

Place:

## BOARD RESOLUTION (HDFC BANK)

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

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

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

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

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

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

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

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

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

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

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

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

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

Seal / Stamp of  
Company

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



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

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

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

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

Further, we do not have any objection to link the said demat account with the trading account of the partnership firm.

We also hereby agree to make an application for opening and availing the e-broking facility provided by HDFC Bank Limited (hereinafter referred to as "the Bank") and HDFC Securities Ltd.

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

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

**We declare that Mr.**

\_\_\_\_\_

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

\_\_\_\_\_

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

**For**

Signatures of Partners

## Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

**S20**

Signature of Customer

BLANK

## 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.

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

Sr. No.	Fee Head	Type	Regular Demat Account	Basic Services Demat Account (BSDA)
			Fees	Fees
1	Account opening			Nil
2	AMC		Rs. 750/- p.a. (Free for first year.)	Holding Value between 0 to 50,000 - NIL AMC
				Holding Value between 50,001 to 2 Lacs - Rs. 100 p.a.
3	Dematerialization	Certificate + Dematerialisation request	Rs. 5/- per certificate + Rs. 35/- per request or min. Rs.40/-	Rs. 5/- per certificate + Rs. 35/- per request or min. Rs.40/-
4	Rematerialization	Rematerialisation Request	Rs 30/-per request +NSDL /CDSL actuals, Currently A)Rs 10/- for every hundred securities or part thereof or B) a Flat fee of Rs 10/- per certificate whichever is higher (Min Rs. 40/- and Max Rs. 5 lacs)	Rs 30/-per request +NSDL /CDSL actuals, Currently A)Rs 10/- for every hundred securities or part thereof or B) a Flat fee of Rs 10/- per certificate whichever is higher (Min Rs. 40/- and Max Rs. 5 lacs)
5	Debit transaction charges (Equity/Equity MF) (Market/Off - Market)	On Market	0.04% of the value of txn or Rs. 20/- whichever is higher	
		Off Market	0.04% of the value of txn or Rs. 20/- whichever is higher	
6	Debit transaction charges (Debt/Debt MF) (Market/Off - Market)	On Market	0.04% of the value of txn or Rs. 20/- whichever is higher (Max Rs. 5000)	
		Off Market	0.04% of the value of txn or Rs. 20/- whichever is higher (Max Rs. 5000)	
7	Credit Transaction		NIL	
8	Pledge Services (Creation / Invocation / Closure)		0.04% or Rs. 40/- whichever is higher Margin Pledge in Favor of HDFC Securities Limited - Rs. 10/- per transaction Margin Funding Pledge in Favor of HDFC Securities Limited - Rs. 20/- per transaction	
9	Courier charges per Demat/Remat request	Inland Address	Rs. 35/- per request	
		Foreign Address	Rs. 500/- per request	
10	Delivery Instruction Booklet		Rs. 75/- per booklet (5 leaves)	

**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/POA 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 HSL sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days and would be made available on my/our website
- \*\*\* The Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. (For more details, kindly refer our website www.hdfcsec.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 HSL 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 HSL 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.



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

**DP & TRADING ACCOUNT ACKNOWLEDGMENT**

NSDL (DP ID - IN 304279), CDSL (DP ID - 12086700, 12095000)

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

**Participant Stamp & Signature**

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



**HDFC securities Limited**

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