

CHECKLIST FOR ENSURING NRI DEMAT/HSL ACCOUNTS ARE FTR

Details for verification		Page no.	Tick (✓)
General	Application Form type, to be mentioned.	1	<input type="checkbox"/>
	Sourcing Branch Code & Name(if applicable), to be mentioned & consistent across pages.	1,3,6,11	<input type="checkbox"/>
	Branch Inward Stamp, Auth Signatory Name, EmpCode, Seal of Branch, should be available & consistent across pages.	1,3,6,12	<input type="checkbox"/>
KYC Form	Mandatory tick/mention on Prefix / Existing Customer / Gender / Martial Status / Date of Birth / Nationality. Applicant Name should match with Income Tax records	3	<input type="checkbox"/>
	Father's name, to be mentioned.	3	<input type="checkbox"/>
	Proof of identity specification with Valid Till details, to be mentioned.	3	<input type="checkbox"/>
	Identification document & details are mandatory	3	<input type="checkbox"/>
	Selection of Address as Residence or Office, to be mentioned.	3	<input type="checkbox"/>
	Land line if provided, should be with Country & STD Codes, to be mentioned.	3	<input type="checkbox"/>
	Mandatorily Mobile & email id required along with family flags, to be mentioned.	3	<input type="checkbox"/>
	IPV Details should be complete with Designation, Employee details, seal, signatures and date.	3	<input type="checkbox"/>
Demat AOF	Financial (i.e. Gross Annual Income/ Networth and occupation) Details, to be mentioned.	4	<input type="checkbox"/>
	Mandatory to select Depository i.e. NSDL or CDSL for A/c Opening, to ensure.	5	<input type="checkbox"/>
	LG Code & LC Code, to be mentioned & should be consistent across pages.	1,5,9	<input type="checkbox"/>
	Number of Holders, to be mentioned.	5	<input type="checkbox"/>
	In case Dividend A/c is Non HDFC Bank A/c then photocopy/cancelled cheque leaf is required, to be attached.	5	<input type="checkbox"/>
	Tick on - SMS Alert Facility ("YES"), to be mentioned.	5	<input type="checkbox"/>
	Tick on - Mode to receive Statement, to be mentioned.	5	<input type="checkbox"/>
Nomination Form	Tick on - DP on NET FACILITY, to be selected.	5	<input type="checkbox"/>
	(Highly Recommended) Nomination Form, details of Nominee to be mentioned (details of Guardian required only if the Nominee is a Minor).	7	<input type="checkbox"/>
	(Highly Recommended) Nominee identification details, either of the details to be provided (Self attested Copy of Aadhar with consent or alternate Proof of Identity required).	7	<input type="checkbox"/>
Trading AOF	Nomination Form, details of Witness to be mentioned only when with thumb impression provided instead of signatures by any of the holders.	8	<input type="checkbox"/>
	Scheme Type, to be mentioned.	1	<input type="checkbox"/>
	Mandatory to tick on - "Monthly" or "Quarterly", for settling the Trading Accont.	2	<input type="checkbox"/>
	Strick off "Physical" under concent for additional Rights & Obligation / Tariff Sheet.	2	<input type="checkbox"/>
	AOC amount as per consent letter, is to be mentioned.	2	<input type="checkbox"/>
	Name of Applicant, to be mentioned.	3,11	<input type="checkbox"/>
	Proof of Income given for F&O, to be mentioned.	11	<input type="checkbox"/>
	Tick on - Past Action on client, to be mentioned.	11	<input type="checkbox"/>
	Tick on - Dealing through other Brokers / Sub Brokers, to be mentioned.	12	<input type="checkbox"/>
	Tick on - ECN or PCN, to be mentioned.	12	<input type="checkbox"/>
	Tick on - Internet trading Facility, to be mentioned.	12	<input type="checkbox"/>
	Tick on - Experience in Trading, to be mentioned.	12	<input type="checkbox"/>
	Mandatory signature required on MITC / Good Till date policy	13,14	<input type="checkbox"/>
	Tick on - Gross income amount, to be mentioned.	4	<input type="checkbox"/>
	Tick on - Occupation type, to be mentioned.	4	<input type="checkbox"/>
FATCA & CKYC Form	TAX Identification details (as per FATCA/CRS country) are mandatory if customer is Tax Resident Other than India.	4	<input type="checkbox"/>
	Mother's Name, to be mentioned	3	<input type="checkbox"/>
	Gender & Marital status, to be mentioned.	3	<input type="checkbox"/>
	Documents received in - Physical Form or Electronic Form, to be mentioned.	2	<input type="checkbox"/>
Signatures	Customer to sign @ 24 places, 6 for Demat, 16 for Trading AOF & 2 for PIS.	16 pages	<input type="checkbox"/>
	Witnesses signature required, for Demat AOF only when the Thumb Impression is affixed by any of the holder.	8	<input type="checkbox"/>

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 /POA/R&Q/Income Tax site/Birth Certificate should be consistent.
- Self attested + clear readable copy of PAN and Proof Of Identity & Proof of Address to be submitted by ALL applicants.
- 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.
- Combined Aadhaar Consent letter required, if Aadhaar Card copy is provided as supporting document.
- Consent Letter to be attached as per scheme and AOC, also check if scheme proof required.
- Contact application page (Mobile / Email declaration page).
- All Alterations/Corrections are attested by the customer.
- Strike off blank spaces on page 3,4

Strike off blank spaces on page 3,4

Branch code Branch Name		
Employee Code & Name		
Signature		Date

BLANK

UDN

Application Form (Please tick relevant boxes):

☐ 3 in 1 form☐ 2 in 1 form☐ 1 in 1 form**Type of Account** (Please tick one)☒ Resident Indian☐ NRI-Repatriable (NRE)☐ NRI-Non Repatriable (NRO)☐ Foreign National

Scheme Type

LG Code

LC Code

Company Code

Branch Code

Branch Name

Branch Inward Stamp &
Authorised Signatory with
StampCPU Inward Stamp &
Authorised Signatory with
Stamp

INDEX

Name of the document	Brief Significance of the document	Section	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	PART A	3, 5, 28
	B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	PART A	11, 12
MITC_Research	Document disclosing mandatory T&C's to clients pursuant to SEBI Research Analyst ('RA') Regulations.	PART A	17, 18
Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges(including additional rights & obligations in case of internet / wireless technology based trading).	PART B	1
Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	7
Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	PART B	11
Policies and Procedures	Document describing significant policies and procedures of the stockbroker	PART B	14
Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)(to be added by the stock broker)	PART B	19
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
Master Mandate + Bank Mandate + DDPI	Document required for linkage of Bank and demat account for experience of seamless trading in securities	PART A	19,20
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 Consents	Consent to receive commercial call and / or sms	PART A	2
Documents Required	Documentation Requirements for 3-in-1 forms for NRI's & PIO's	PART A	28

Registered Office Address: I Think Techno Campus, Building - B, "Alpha", Office Floor 8, Kanjurmarg (East), Mumbai - 400042.
Ph.: (022) 3075 3400 Website: www.hdfcsec.com (CIN - U67120MH2000PLC152193)

Correspondence Office Address: 6th Floor, Lotus Park, Lane no 16., Wagle Industrial Estate, Thane West, Thane, Maharashtra 400604. Ph.: (022) 6246 5555

Compliance Officer Name, Phone No. & Email ID: Mr. Murli V Karkera, (022) 6915 1436, complianceofficer@hdfcsec.com

CEO/M.D. Name, Phone No. & Email ID: Mr. Dhiraj Relli, (022) 6915 1441, md@hdfcsec.com

SEBI Registration No.	INZ000186937 (NSE, BSE, MSEI, MCX)	<p>For any grievance/dispute please contact HDFC Securities Ltd. at the above address or email id-services@hdfcsec.com and Phone no.: (022) 6246 5555</p> <p>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</p>
NSE Trading Member Code	11094	
BSE Clearing No.	393	
MSEI Trading Member Code	30000	
MCX Member Code	56015	
AMFI Reg No.	ARN -13549	
PFRDA Reg. No.	POP 11092018	
IRDA Corporate Agent Licence No.	CA0062	
Research Analyst Reg. No.	INH000002475	
Investment Adviser	INA000011538	
CIN	U67120MH2000PLC152193	

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

Please note that HDFC Securities has a proprietary trading desk. This desk maintains an arm's length distance with the Research team and all its activities are segregated from Research activities. The proprietary desk operates independently, potentially leading to investment decisions that may deviate from research views.

(A) 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

(B) OTHER CONSENT

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

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

(C) CONSENT FOR ADDITIONAL RIGHTS & OBLIGATIONS

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

A/C opening charges

Total

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

I provide consent for above mentioned Running Account Authorisation, Other Consent and Additional Rights & Obligations

S1
X Signature of Client

Name:

Date:

Place:

"Fields marked in Red are mandatory." "Form to be filled in Capital Letters only." "Strike off whichever is not applicable." "Fill this form in English."

Personal Details

Prefix	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Others	Existing Customer	<input type="checkbox"/> Yes <input type="checkbox"/> No	KYC No.	
Applicant Name	(Same as per ID Proof)				
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others		
Status	<input checked="" type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other, please specify				
Date of Birth	D D M M Y Y Y Y	Account Type	<input checked="" type="checkbox"/> Normal (for low risk customer) <input type="checkbox"/> Simplified <input type="checkbox"/> Small		
PAN (Mandatory)		Aadhaar No.	X X X X X X X X		
Proof of Identity	(Official valid document required in addition to PAN)				
Identification Number of Proof of Identity					

S2 Signature across photograph

Applicant's latest passport size photo

Residence / Correspondence Address

Proof of Address submitted (Specify)		Expiry Date	D D M M Y Y Y Y
Residence/Correspondence Address			
Landmark (Mandatory)			
City	State		
District	Country		
PIN Code	Please mention a prominent landmark to ensure that the deliverables reach you		
Address Type	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Business and Residential <input type="checkbox"/> Registered office		

Permanent Address

<input type="checkbox"/> Permanent Address same as Present Address			
Permanent Address			
Landmark (Mandatory)			
City	State		
District	Country		
PIN Code	Residing at current residence since Y Y M M		
Please mention a prominent landmark to ensure that the deliverables reach you			

Mandatory to be filled if different from above

Mandatory for Non Resident Applicant to specify overseas address

Contact Details

(Mandatory) Tel (R)	+ S T D N U M B E R	(Mandatory) Mobile No.	+ N U M B E R
I here by declare that above mentioned mobile number belongs to <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parent <input type="checkbox"/> Dependent Children			
Tel (O)	+ S T D N U M B E R	- E X T N	Fax S T D - N U M B E R
E-mail ID			
I here by declare that above mentioned emailid belongs to <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parent <input type="checkbox"/> Dependent Children			

Declaration/Consent

I hereby declare that the details furnished in this form are true and correct to the best of my/our knowledge and belief and I understand 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/We am/are aware that I/We may be held liable for it. My personal/KYC details to be shared with Central KYC Registry/FATCA/KRA. I hereby consent to receive information from Central KYC registry through SMS / email on the above Registered number / email address.

I hereby provide my consent to share my Aadhaar data, documents, PAN, Email id and Mobile number with KYC Registration Authority (KRA) for validation.

I am aware that single set of attested KYC documents are provided for opening of Bank, Demat, Trading & PIS account.

FOR OFFICE USE ONLY	(Originals verified) and Self -Attested Document copies received
	In-Person-Verification (IPV) details:
	Name of the Person doing IPV
	Signature of the Person doing IPV
	Designation & Emp. code
Branch code	
Name of the organisation: HDFC Bank Ltd.	
Name and Signature of Authorised Signatory	

Seal / Stamp of
HDFC Bank Ltd.

D D M M Y Y Y Y

S3 Signature of the applicant

D D M M Y Y Y Y Place

Do not sign this form if it is BLANK. Please ensure all relevant sections and columns are completely filled to your satisfaction and then only sign the form

Note: Kindly use additional KYC page for every joint holder. For HSL trading account - Name of the customer will be considered as name available in income tax database

*Gross annual income(₹) (Income range per annum) ☐ Below Rs. 1 lac ☐ Rs. 1 to 5 lac ☐ Rs. 5 to 10 lac ☐ Rs. 10 to 25 lac ☐ More than Rs. 25 lac

OR Net worth (₹) as on date Net worth details should not be older than one year

Occupation details ☐ Public Sector ☐ Private Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Student ☐ Housewife
 (please tick any one below and give brief details) Others (please specify) _____

Employer Name Designation

Brief Details _____ Please tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

City of Birth Country of Birth
 (Mandatory) (Mandatory)

Address for Tax purpose (please tick) ☐ Same as Mailing Address ☐ Same as permanent Address

Are you a tax resident of any country other than India? ☐ No ☐ Yes, then please fill below

Country/(ies) of Tax Residency #	Tax Identification Number (TIN)%	Nationality / Citizenship	Identification Type (TIN or Other%, please specify)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

To also include USA, where the individual is a citizen /green card holder of USA % In case Tax Identification Number is not available, kindly provide functional equivalent

CBDT Terms and Conditions

The Central Board of Direct Taxes (CBDT) has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with HDFC Bank or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

CBDT Instructions

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

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

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

Certification:

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

Details under FATCA/Foreign Tax Laws:

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

Please note that you may receive more than one request for information if you have multiple relationships with different members of the HDFC Group. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information. It is mandatory to supply a TIN or Functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below.

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

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

* Government or agency thereof or a municipality

S4 Signature of the Applicant

- (Signatures of all the holders are required)

[illegible]

A) If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s) / First Holder, only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin repledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities / nomination requests will be permitted.

B) In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Depository Participant about the death of account holder(s) with required documents for deletion of name of the deceased account holder(s) in the demat account. In case if "first holder" is selected, the communication will be sent as per the preference mentioned. In case "All joint account holders" is opted, communication to first holder will be sent as per the preference mentioned and communication to other holders will be in electronic mode. The default option will be communication to "first holder", if no option selected.

C) In case of joint account, the option to select 'Choice of Nomination' i.e. I/We wish to make a nomination or I/We wish to opt out of a nomination is not mandatory.

Debit Authorisation: I/We hereby authorize the Bank to debit all types of Bank charges / commission / fees ("Service Charges") payable by me /us / to the said Accounts. I/We undertake that sufficient balances shall be maintained by me/us in the said Accounts to facilitate the debiting of Service Charges. The failure on part of me /us to maintain sufficient balance in the said Account shall not in any way impair the right of the Bank to debit the Service Charges. I/We hereby further authorise the bank to charge any interest on debit balance in the said Accounts due to the debiting of Service Charges, and/or recover the charges from any other account maintained by me/us with HDFC Bank Ltd. The Bank shall not be obliged to provide overdraft facility on the said Account but for towards the debiting of Service Charges payable by me/us. I/We specifically agree and confirm that any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws and shall be subject to the jurisdiction of the courts of Mumbai in India. I / We hereby confirm the bank shall have a lien and right of set off on all monies belonging to me /us standing to my /our credit in any account whatsoever with the bank and authorize the bank without reference to me /us to appropriate the same towards satisfaction of the service charges or any other charges due and payable by me /us. count. 11. I/we am/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secretcy of the login name and password is compromised.

1. I/We agree to discontinue the Physical Statements if electronic mode is opted. 2. I/We understand that the email statements are for my/our convenience. HDFC Bank shall not be liable or responsible for any breach of secrecy because the statements are being sent to the email ID. 3. I/We shall verify the authenticity of the emails I/We receive. I/We shall not hold the Bank responsible for any statement received from frauds/imposters. I/We shall not hold the Bank liable if any problem arises with my/our computer network because of me/ us receiving statements from the Bank. 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. The Bank 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 the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account. 11. I/we am/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. 12. Participant or Client can terminate such arrangement by giving 10 days prior notice. 13. In case opted for statement through email, the Client shall immediately inform the Participant about change in email address, if any

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

6

Nomination details are mandatory for Sole holder Demat Account and are optional for joint holder Demat Account

☐ I/We wish to make a nomination (As per details given below)

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

Nomination Details (1st, 2nd and 3rd Nominee) are applicable for Trading Ac & Demat Ac where as 4th to 10th Nominee are applicable only for Demat Ac opening from December 15, '2025 onwards

	1st Nominee												2nd Nominee												3rd Nominee											
Name of the Nominee(s) (Mr./Ms.)	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E			
						L	A	S	T						L	A	S	T						L	A	S	T						L	A	S	T
Shares of Nominee(%)**	Specify Percentage_____%												Specify Percentage_____%												Specify Percentage_____%											
Relationship with Applicant#																																				
Nominee(s) Address	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>											
	_____PIN Code												_____PIN Code												_____PIN Code											
Nominee Identification Document	For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport <input type="checkbox"/>												For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport <input type="checkbox"/>												For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport <input type="checkbox"/>											
Identity Number ***	Ref. ID no. _____												Ref. ID no. _____												Ref. ID no. _____											
Mobile/Telephone no. of Nominee(s)																																				
Email ID of Nominee(s)																																				
Date of Birth of Nominee(s) Only when Nominee is Minor	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>											
Name of Guardian (Mr./Ms.) In case nominee is minor.	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E			
						L	A	S	T						L	A	S	T						L	A	S	T						L	A	S	T
Address of Guardian(s)	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>											
	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>											
Relationship of Guardian with Nominee#																																				
Guardian Identification Document	For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> For NRI <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport number <input type="checkbox"/>												For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> For NRI <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport number <input type="checkbox"/>												For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> For NRI <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport number <input type="checkbox"/>											
Mobile/Telephone no. of Guardian																																				
Email ID of Guardian																																				

Spouse, Son, Daughter, Father, Mother, Brother, Sister, Grand-Son, Grand-Daughter, Grand-Father, Grand-Mother, Others, Mother In Law, Father In Law, Brother In Law, Sister In Law, Son n Law, Daughter In Law

Nomination Details (4th, 5th and 6th Nominee)

	4th Nominee												5th Nominee												6th Nominee											
Name of the Nominee(s) (Mr./Ms.)	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E			
						L	A	S	T						L	A	S	T						L	A	S	T						L	A	S	T
Shares of Nominee(%)**	Specify Percentage_____%												Specify Percentage_____%												Specify Percentage_____%											
Relationship with Applicant#																																				
Nominee(s) Address	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>											
	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>											
Nominee Identification Document	For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport <input type="checkbox"/>												For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport <input type="checkbox"/>												For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport <input type="checkbox"/>											
Identity Number ***	Ref. ID no. _____												Ref. ID no. _____												Ref. ID no. _____											
Mobile/Telephone no. of Nominee(s)																																				
Email ID of Nominee(s)																																				
Date of Birth of Nominee(s) Only when Nominee is Minor	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>												<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>											
Guardian details Complete details of Guardian are required, refer nominee 1,2&3 above	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E	F	I	R	S	T	M	I	D	D	L	E			
						L	A	S	T						L	A	S	T						L	A	S	T						L	A	S	T

Nomination Details (7th, 8th and 9th Nominee)								
7th Nominee			8th Nominee			9th Nominee		
Name of the Nominee(s) (Mr./Ms.)	F I R S T M I D D L E L A S T	F I R S T M I D D L E L A S T	F I R S T M I D D L E L A S T	F I R S T M I D D L E L A S T	F I R S T M I D D L E L A S T			
Shares of Nominee(%)**	Specify Percentage _____%	Specify Percentage _____%	Specify Percentage _____%	Specify Percentage _____%	Specify Percentage _____%			
Relationship with Applicant#								
Nominee(s) Address								
	CITY STATE COUNTRY PIN Code	CITY STATE COUNTRY PIN Code	CITY STATE COUNTRY PIN Code	CITY STATE COUNTRY PIN Code	CITY STATE COUNTRY PIN Code			
Nominee Identification Document	For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport	For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport	For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport	For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport	For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport			
Identity Number ***	Ref. ID no. _____	Ref. ID no. _____	Ref. ID no. _____	Ref. ID no. _____	Ref. ID no. _____			
Mobile/Telephone no. of Nominee(s)								
Email ID of Nominee(s)								
Date of Birth of Nominee(s) Only when Nominee is Minor	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y			
Guardian details Complete details of Guardian are required, refer nominee 1,2&3 above	F I R S T M I D D L E L A S T	F I R S T M I D D L E L A S T	F I R S T M I D D L E L A S T	F I R S T M I D D L E L A S T	F I R S T M I D D L E L A S T			

Nomination Details (10th Nominee)	
10th Nominee	
Name of the Nominee(s) (Mr./Ms.)	F I R S T M I D D L E L A S T
Shares of Nominee(%)**	Specify Percentage _____%
Relationship with Applicant#	
Nominee(s) Address	
	CITY STATE COUNTRY PIN Code
Nominee Identification Document	For RI <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar For NRI <input type="checkbox"/> PAN <input type="checkbox"/> OCI <input type="checkbox"/> PIO <input type="checkbox"/> Passport
Identity Number ***	Ref. ID no. _____
Mobile/Telephone no. of Nominee(s)	
Email ID of Nominee(s)	
Date of Birth of Nominee(s) Only when Nominee is Minor	D D M M Y Y Y Y
Guardian details Complete details of Guardian are required, refer nominee 1,2&3 above	F I R S T M I D D L E L A S T

Signature of two witness(es), along with Name & Address are required ONLY WHEN thumb impression is affixed by any of holder	
Name & Address of the Witness, ONLY WHEN thumb impression affixed by the any of holder	
Witness 1 (Mr. / Ms):	
Address	
	Signature of Witness 1
Witness 2 (Mr. / Ms):	
Address	
	Signature of Witness 2

Signature & Name of holder (s)		
S6	Signature 1st holder	Signature 2nd holder
		Signature 3rd holder

*Joint Accounts:

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

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

*** Provide only number: PAN or Driving License or Aadhaar (last 4). However, in case of NRI / OCI / PIO, Passport number is acceptable.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows;
(please tick, as appropriate) ☐ Name of nominee(s) ☐ Nomination: Yes Or No (to be displayed). Is default when either of details are not selected

2) I hereby authorize _____ (nominee number ____) to operate my account on my behalf, in case of my incapacitation. He / She is authorized to encash my assets up to ____ % of assets in the account / folio or Rs. _____. (Optional)(strike off portions that are not relevant) This is applicable for Demat Ac from December 15, 2025.

3) This nomination shall supersede any prior nomination made by me / us, if any.

Name of the Holders		Signature of the Holders	
Name of 1st Holder		S7	
		Signature 1st holder	
Name of the 2nd Holder			
		Signature 2nd holder	
Name of the 3rd Holder			
		Signature 3rd holder	

Rights, Entitlement and Obligation of the investor and nominee:

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

Transmission aspects

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

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

☐ I/We wish to Opt Out of Nomination.

Declaration Form for opting out of nomination

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Signature & Name of holder (s)	S8		
	Signature 1st holder	Signature 2nd holder	Signature 3rd holder

Signature of two witness(es), along with Name & Address are required ONLY WHEN thumb impression is affixed by any of holder

Witness 1	Name & Address of the Witness, ONLY WHEN thumb impression affixed by the any of holder (Mr. / Ms): _____	D D M M Y Y Y Y	Signature of Witness
	Name & Address of the Witness, ONLY WHEN thumb impression affixed by the any of holder (Mr. / Ms): _____	D D M M Y Y Y Y	Signature of Witness

Notes on Nomination in Demat Account (Refer Notes For Joint Accounts on page 4 for joint accounts)

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

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Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Application No.	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	DP ID	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Client ID	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
UCIC ID	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>			LG Code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	LC Code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Dear Sir/Madam,

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

**Tariff sheet for HDFC Bank Individual Demat Accounts - Regular / Basic Services Demat Account
(Effective 1st Sep'24)**

Sr. No.	Fee Head	Type	Fees	Min
1	Account opening charges		Nil	
2	Credit Transactions		Nil	
3	Debit Transactions like Equity / Debt / Mutual Funds (Market / Off Market)		0.04% of the value of the txn. (Max Rs 4,999/-) Inclusive of NSDL / CDSL actual debit transaction charges	Rs. 30/- Inclusive of NSDL / CDSL actual debit transaction charges
4	Pledge Services(Closure / Creation / Invocation)			
5	Margin Pledge (Creation / Invocation / Closure)		Rs. 20/- per instruction	
6	Dematerialisation	Certificate + Dematerialisation Request	Rs.5/- per certificate + Rs. 35/- per request	Rs. 40/-
7	Rematerialisation	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	Rs.40/- (min) Rs.5,00,000 (max)
8	Reconversion of Mutual Funds/Redemption of Mutual Fund units	Reconversion of Mutual Funds	Rs 30/- per request + NSDL / CDSL actuals, Currently	Rs 10/- per request in NSDL & Rs 5.50/- per request in CDSL
		Redemption of Mutual Fund units	Rs 30/- per request + NSDL / CDSL actuals, Currently	Rs 4.50/- per request in NSDL & Rs 5.50/- per request in CDSL
9	Reissuance of Delivery Instruction Booklet (DIB)		Rs.100/- per booklet	
10	Mailing Charges Courier / Postal Charges only (Adhoc Statement)	Inland Address	Rs.35/- per request	
		Foreign Address	Rs.500/- per request	
11	Annual Maintenance Charges	AMC - BSDA Demat Ac	AMC	Holding Value
			*** NIL	0 to 4,00,000
			*** Rs 100 p.a.	4,00,001 to 10,00,000
			*** Rs 750 p.a.	Above 10,00,000
		AMC - Regular Demat Ac	Rs. 750 p.a.	-

Terms & Conditions:

1. Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions. 2. Customers who have a banking relationship with HDFC Bank to provide a debit authorisation for the recovery of service charges. Customers having only a Depository relationship will be required to maintain a balance of Rs. 7,500/- in an account maintained by Bank for each Demat account. The Customer also need to replenish the balances in the said account immediately if and when it falls below Rs.5,000/-. 3. 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. 4. All charges / service standards are subject to revision at the Bank's sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days. In case you are applicable for submission of GSTIN details, please provide details in a separate "GST Annexure". GST Annexure is available on our website (www.hdfcbank.com >> Form Center>> Demat Tab >> GST Annexure). 5. *** The Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. For the computation of AMC for Managed Program, the transactions for the previous year will be evaluated, and basis the number of transactions done by the customer, AMC will be levied as per the transaction slabs defined. (For more details of Managed program, kindly refer our website www.hdfcbank.com) 6. 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. 7. In case of BSDA, such accounts will be levied AMC applicable basis the value of holdings exceeding the prescribed limit immediately from the next day of exceeding such limit. 8. 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. 9. 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. 10. The value of the transaction will be in accordance with rates provided by Depositories (NSDL / CDSL). 11. 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. 12. Debit transaction charges are inclusive of NSDL / CDSL actuals which are ₹ 4.00 / ₹3.50 per debit instruction respectively. 13. Effective 01st Oct'24, Youth Demat Account holder will enjoy charge free debit transactions from NSDL. It is applicable for Demat Accounts where in customers must be below twenty four years at the time of Account opening and is extended for only three years. 14. CDSL discounts on Debit transactions are - Women Demat account holders (as first holder) will enjoy a discount of ₹0.25 per debit transaction on the CDSL actuals. - Debit transactions of mutual funds & bonds will enjoy a discount of ₹0.25 per on the CDSL actuals. 15. The operating instructions for the joint accounts must be signed by all the holders. 16. All instructions for transfer must be received at the designated DP servicing branches of the Bank at least 24 hours before the execution date. 17. In case of non- recovery of service charges due to inadequate balance in your linked bank account or inadequate advance fees or invalid bank account, the Depository services for your account will be temporarily discontinued. The services will be resumed in a minimum of three working days from the date of receipt of request with HDFC Bank and post payment of all outstanding dues towards Depository charges. 18. 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. 19. The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence despatch of physical statements has been discontinued. 20. Your Transaction cum Billing statement will be available on NetBanking under Demat tab by second week of every month with option to view /download. Effective 01July'2020 stamp duty charges would be collected on consideration amount of OffMarket transfer / Pledge invocation instruction, before execution of request.

S9

X Signature (1st holder)

X Signature (2nd holder)

X Signature (3rd holder)

Name of the Applicant:

BANK AND DEPOSITORY ACCOUNTS DETAILS:

Bank Name: ☐ HDFC Bank A/C

Bank A/C No.

Account Type: ☐ NRE ☐ NRO

IFSC Code

MICR Number:

Branch Address

Branch Code

DP Name

Client ID (BO ID)

DP ID:	I	N
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Client ID (BO ID)

Depository Name (tick one) ☐ NSDL

CDSI

Kindly update Standing Instruction as Yes for above mentioned Client ID's (NSDL, CDSL) (Applicable for 1in1 Trading Account opening of NRO/NRE)

RBI Approval reference Number is _____ RBI Approval date _____

TRADING PREFERENCES:

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges Segments	NSE	BSE	MCX
Cash Market/Mutual Fund	S11 X Signature of Client	S12 X Signature of Client	NA
Futures & Options	S13 X Signature of Client	NA	NA
Currency Derivatives	NA	NA	NA
Commodity Derivatives	NA	NA	NA

If you do not wish to trade in any of segments / Mutual Fund, please mention here

RISK DISCLOSURES ON DERIVATIVES

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to Rs 50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source: 1. SEBI study dated January 25, 2023 on “Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment”, wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

Note: In case of Derivatives, client has Custodian Participant Code active with other broker, kindly provide NOC from other broker. Please specify the proof submitted to avail the privileges to trade in derivatives segment: (Please refer check list)

If in future, the client wants to trade on any new segment / new exchange, seperate authorization / letter should be taken from the client by the stock broker.

##For MF Terms and Conditions refer to website hdfcsec.com and provide Indian address proof as per checklist

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

[illegible]

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.

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Signature of Customer

Policy for Handling Good Till Date Orders

1. Background :

Exchanges vide it's circular NSE/INSP/62528 dated June 21, 2024 and 20240622-2 dated June 22, 2024 pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled" / "Good Till Triggered" orders or orders of similar type.

2. Scope:

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

3. Details of Good Till Cancelled/Good Till Triggered/orders –

- a. HDFC Securities Ltd. ("HSL") enables it's clients to place "Good Till Date" (GTDt) orders.
- b. GTDt is a order facility through which a client can place buy and sell limit orders in shares, index futures & index options specifying the period for which the order instruction is valid. The period selected by the client shall be within the maximum validity date defined by HSL. Since client has the right to define validity date ("order validity date"), this order type is called as Good Till Date (GTDt) order.
- c. All existing and new clients of HSL who are eligible to trade in Equity Cash product & Derivatives can avail GTDt facility for order placement.
- d. The facility of placing a GTDt order is available in Equity Cash product, Index futures, Index Options and E-Margin (MTF) product only. It is not available for other products like Margin, Spot, etc. As and when, GTDt orders are introduced in new segments the same shall be displayed through the HSL website and subsequently updated in the policy.
- e. Client can specify disclosed quantity while placing cash orders with GTDt order validity.
- f. GTDt orders can only be placed by specifying a limit price. GTDt orders cannot be placed at market price.
- g. If a GTDt order is not executed for the entire quantity, HSL is authorised to place fresh orders for the unexecuted quantity for the client on the subsequent trading days till the entire quantity is executed or till the validity expires, whichever is earlier. This feature permits the client to specify the number of days during which the client intends to place the orders.
- h. GTDt orders can be placed during the pre-open session for all scrips, however only orders in scrips that are pre-open enabled would be sent to exchange during the pre-open session. Orders in all other scrips not enabled for pre-open session would be treated as overnight orders and sent to exchange during normal trading session.
- i. Client shall ensure that necessary funds/margins are available to place GTDt orders in their account for the unexecuted quantity of the order.
- j. "Order Validity Date" means the date entered by the client while placing GTDt orders. This date shall be equal to or less than the maximum validity date defined by HSL which would appear as the default "Order Validity Date". Client can choose the GTDt order validity date as less than or equal to the maximum validity date defined by HSL. Client shall not be allowed to place orders with GTDt validity beyond maximum defined validity date.
- k. In case the GTDt order validity date falls on a non trading day, the order is expired by HSL on the last trading day which falls prior to such order valid date which is a non trading day. Post the expiry, the status of GTDt order is updated as Expired (Closed).
- l. Once a client has placed a GTDt order, HSL will place orders for the unexecuted quantity of the GTDt order for all the days during the validity period or till the quantity is fully executed or cancelled or rejected due to any reason. Client may login only to check the status of such orders.
- m. For the unexecuted quantity orders shall be placed daily as overnight orders during the validity period, i.e. until the order validity date is less than or equal to the next trade date provided such GTDt order remains unexecuted and is not cancelled, nor rejected due to any reason. The orders would be placed on these dates provided they are trading days.
- n. All securities in BSE & NSE except securities in debt segment, NCD, Bonds and illiquid securities are eligible for the placing GTDt order.
- o. Orders with GTDt validity can be placed both during the market hours as well as post market hours.
- p. GTDt orders can be placed over CallNTrade.
- q. Client can place maximum 5 GTDt orders for a particular scrip and in all a client can place maximum 30 GTDt orders across all eligible scrips.
- r. Clients can modify the quantity or limit price of a GTDt orders Clients can modify the order only when the order is in 'Ordered status' (during market hours) or 'Requested status' (after market hours). "GTDt Blocked" orders cannot be modified but can only be cancelled.
- s. All GTDt orders can be cancelled.
- t. The Brokerage rates and applicable charges are same for normal transactions and GTDt orders. Further, GTDt orders shall be settled in the same manner as normal equity / derivative market transactions.
- u. Clients can also place GTDt Buy and Sell (sell- Open position only) order under E-Margin Product.
- v. Stoploss orders can also be placed with GTDt validity.

4. Handling of GTDt orders in case of corporate actions :

Post Corporate Action, GTDt orders will be validated against DPR (Daily Price Range) sent by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges.

The orders which would get failed in circuit check and daily price range for next day pumping would be kept in system in "GTDt Blocked" status for retry on subsequent trading day.

Emails and SMS will be sent to the customers when the GTDt orders fall short of Funds / Securities or Blocked due to price beyond DPR range.

5. Updating Clients of upcoming Corporate Actions :

All upcoming corporate actions including dividend, bonus, split, etc. shall be intimated to clients having unexecuted GTDt orders atleast one day prior to the ex-date of the corporate action.

Clients shall review their GTDt orders pro actively whenever there may be impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

6. Policy Communication :

The said policy shall be made part of the Account Opening Form/Kit under heading "Policy on Handling of Good Till Cancelled Orders of Client" of Policy and Procedures document and shall also be displayed on the HSL website.

7. Policy Review :

The said policy shall be reviewed on an annual basis.

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Signature of Customer

Disclosure of minimum mandatory Terms & Conditions to clients pursuant to SEBI Research Analyst ('RA') Regulations

1. Availing the research services: By accepting delivery of the research service, the client confirms that he/she has elected to subscribe the research service of the RA at his/her sole discretion. RA confirms that research services shall be rendered in accordance with the applicable provisions of the RA Regulations.

2. Obligations on RA: RA and client shall be bound by SEBI Act and all the applicable rules and regulations of SEBI, including the RA Regulations and relevant notifications of Government, as may be in force, from time to time.

3. Client Information and KYC: The client shall furnish all such details in full as may be required by the RA in its standard form with supporting details, if required, as may be made mandatory by RAASB/SEBI from time to time. RA shall collect, store, upload and check KYC records of the clients with KYC Registration Agency (KRA) as specified by SEBI from time to time.

4. Standard Terms of Service: "I / We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure. I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report.

I/We understand that –

- i. Any investment made based on the recommendations in the research report are subject to market risk.
- ii. Recommendations in the research report do not provide any assurance of returns.
- iii. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report."

Declaration of the RA that:

- i. It is duly registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014 and its registration details are: (registration number, registration date);
- ii. It has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting.
- iii. Research analyst services provided by it do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;
- iv. The maximum fee that may be charged by RA is 1.51 lakhs per annum per family of client.
- v. The recommendations provided by RA do not provide any assurance of returns.

5. Consideration and mode of payment: The client shall duly pay to RA, the agreed fees for the services that RA renders to the client and statutory charges, as applicable. Such fees and statutory charges shall be payable through the specified manner and mode(s)/ mechanism(s).

Note:- Currently, HDFC Securities Ltd does not charge its retail clients for research services.

6. Risk factors: Investments in securities market are subject to market risks, read all the related documents carefully before investing.

7. Conflict of interest: The RA shall adhere to the applicable regulations/ circulars/ directions specified by SEBI from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The disclosures regarding actual and potential conflict of interest shall be made available in the research reports published.

8. Termination of service and refund of fees: Disclosure that the RA may suspend or terminate rendering of research services to client on account of suspension/ cancellation of registration of RA by SEBI and shall refund the residual amount to the client. In case of suspension of certificate of registration of the RA for more than 60 (sixty) days or cancellation of the RA registration, RA shall refund the fees, on a pro rata basis for the period from the effective date of cancellation/ suspension to end of the subscription period.

9. Grievance redressal and dispute resolution: Any grievance related to (i) non-receipt of research report or (ii) missing pages or inability to download the entire report, or (iii) any other deficiency in the research services provided by RA, shall be escalated promptly by the client to the person/employee designated by RA, in this behalf. (refer escalation matrix).

The RA shall be responsible to resolve grievances within 7 (seven) business working days or such timelines as may be specified by SEBI under the RA Regulations. RA shall redress grievances of the client in a timely and transparent manner. Any dispute between the RA and his client may be resolved through arbitration or through any other modes or mechanism as specified by SEBI from time to time.

10. Additional Clauses: All additional voluntary clauses added by the RA should not be in contravention with rules/ regulations/ circulars of SEBI. Any changes in such voluntary clauses/document(s) shall be preceded by a notice of 15 days.

11. Mandatory notice: As investors you are requested to go through Do's and Don'ts while dealing with RA as specified in SEBI master circular no. SEBI/HO/MIRSD-POD-1/P/CIR/2024/49 dated May 21, 2024 or as may be specified by SEBI from time to time.

12. Optional Centralised Fee Collection Mechanism: SEBI has introduced optional 'Centralised Fee Collection Mechanism for IA and RA' (CeFCoM) available for payment of fees to RA. However, HSL has not availed the said facility.

13. Use of Artificial Intelligence ('AI') tools in RA services: The extent of use of artificial intelligence tools shall be disclosed as a part of the research reports published.

14. Most Important Terms and Conditions (MITC):

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.

2. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).

Note:

- 2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.
- 2.2. The fee limit does not include statutory charges.
- 2.3. The fee limits do not apply to a non-individual client / accredited investor.
- 2.4 Currently Nil, HSL reserves the right to levy charges in future.
3. RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one year (for Individual and HUF clients). In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period
4. Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).
5. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.
6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.
7. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.
8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.
9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.
10. For any grievances,

Step 1: the client should first contact the RA using the details on its website or following contact details:

Escalation Matrix:

Details	Contact Person	Address	Contact No	Email ID	Working hours
Customer Care	Ms. Mital Gala	6th Floor, Lotus Park, Lane no 16., Wagale Industrial Estate, Thane West, Thane - 400604	022-62465555	customercare@hdfcsec.com	9.00 AM to 5.00 PM (Monday to Friday)
Head Of Customer Care	Mr. Tushar Pandey	6th Floor, Lotus Park, Lane no 16., Wagale Industrial Estate, Thane West, Thane - 400604	022-69151437	services@hdfcsec.com	9.00 AM to 5.00 PM (Monday to Friday) & 9.00 AM - 2.00 PM (Saturdays)
Compliance Officer	Mr. Murli Karkera	HDFC securities Limited, iThink Techno Campus, Building - B, 'Alpha', 8th Floor, Opp. Crompton Greaves, Near Kanjurmarg Station, Kanjurmarg (E), Mumbai - 400042	022-69151436	complianceofficer@hdfcsec.com	9.00 AM to 5.00 PM (Monday to Friday) & 9.00 AM - 2.00 PM (Saturdays)
Chief Executive Officer	Mr. Dhiraj Relli	HDFC securities Limited, iThink Techno Campus, Building - B, 'Alpha', 8th Floor, Opp. Crompton Greaves, Near Kanjurmarg Station, Kanjurmarg (E), Mumbai - 400042	022-69151441	escalation@hdfcsec.com	9.00 AM to 5.00 PM (Monday to Friday) & 9.00 AM - 2.00 PM (Saturdays)

Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in

Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>

11. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.

12. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.

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Signature of Customer

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 :-

NRE/NRO Saving Account No.:

NRE PIS/NRO Saving Securities Account No.:

Customer/UCIC ID:

Account Type: _____ Branch _____

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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

Date:

The Manager
NRI and PIS Services
HDFC Bank

branch.

Broker's Name :

H	D	F	C		S	e	c	u	r	i	t	i	e	s		L	t	d.
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Customer's PAN:

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NRE A/c No.

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Dear Sir,

Ref: Application for permission to deal in shares in secondary market under the Portfolio Investment Scheme (PIS)

We hereby appoint HDFC Bank as a Designated Bank for PIS. We hereby advise that we have read and understood the terms and conditions as specified under the portfolio Investment Scheme and hereby declare that we agree to comply with all statutory formalities under the PIS scheme from time to time. We confirm that as on date, we do not hold PIS PERMISSION on repatriable basis with any other bank.

I/We hereby agree: 1. The facility is available only to customers maintaining their PIS account with designated branches of HDFC Bank .2. I understand clauses can be modified as per change of regulations within 48 hours. 3. To deal with only one designated branch at any given point of time for PIS. All transactions under PIS will be routed through designated branch only. 4. That the NRE PIS accounts and PIS PERMISSION will be held with only one bank at any given point in time. 5. The NRE PIS account will not be used to route any other transactions besides transactions related to the purchase and sale of shares. All routine transactions, Demat charges, dividend warrants etc will be routed through the regular NRE NON-PIS savings account held with the bank. I will only do transactions such as transfer from and to my Regular NRE Savings account (Non-PIS savings account) held with HDFC Bank and purchase Payment of equity shares and crediting sale proceeds (net of taxes) of equity shares acquired on repatriation basis under Portfolio Investment Scheme(PIS) 6. To submit the complete details of all shares held by me which was purchased from the Primary market as a non resident on repatriation basis in the formats as specified by the bank. 7. To do only delivery based transactions and not indulge in speculative transactions. To purchase and sell shares of an Indian company, through registered broker on a recognized stock exchange. 8. To place purchase orders only if the Bank can earmark sufficient balance covering the purchase consideration of securities and other applicable charges in client's Bank account. 9. To report to the Bank all purchase and sale of shares transactions done directly through stockbrokers within 24 to 48 hours after trade, by submitting original broker contract notes to PIS designated branch only where PIS account is maintained. Details like, PIS Permission number, PIS account, Demat Account (DP and Client ID), purchase payments (cheque no, date of cheque, gross amount of purchase- only for purchase contract note) will be mentioned on contract note. 10. To send details to the Bank of all payments made to the stock broker on account of purchase of securities along with the details of the securities purchased in the format prescribed or may be prescribed by the Bank from time to time. 11. Payments for shares/ receipts from the broker on account of sale of shares will be made as per the amounts specified on the bills and no adjustment of purchases against sale transactions will be done even if various sale and purchase transactions are doing during the same period. 12. To deposit all payment instruments (cheque/DD etc) received from a stockbroker on account of sale of securities for crediting in appropriate account along with complete details like PIS Permission number, PIS account, Trade date and the bills at PIS designated branch where PIS account is maintained. The purchase of equity shares/convertible debentures in each company with repatriation benefits shall not exceed 5 % (or as prescribed by Reserve Bank of India from time to time) of the paid up capital of the company, subject to an overall ceiling of 10 % (or as prescribed by Reserve Bank of India from time to time) All consequences of failure in such compliance, including any losses arising out of reversal of transactions shall be to our account. 13. The bank will recover its fees /charges applicable for PIS by the debit to the NRE savings (non-PIS) account held. 14. The sale proceeds cheque will be deposited only at PIS designated branch at PIS desk and not any other branch/cheque drop box. For every sale transaction applicable capital gains tax will be deducted by the Bank at the time of crediting sale proceeds to PIS account. Bank will apply penal interest on TDS amount for the sale trade date pertaining to any of the past financial years. The sale proceeds net of tax will be credited to the designated account within 48 working hours, after receipt of clear funds from broking firm provided all details in order. 15. To submit the CA certificate and undertaking as per the formats specified under PIS along with net sale proceeds of shares in case I/We are arranging to PIS capital gains separately through our chartered accountant. 16. The Bank will be able to set off losses against capital gains on equity shares for same financial year only. The benefit of set off of losses is available per contract note basis (i-e: losses made in one contract note can be set off against the gains made on future sale contract note . The bank will report purchase and sale contract notes on FIFO basis and compute capital gain tax accordingly, even if trades have been executed through multiple brokers. 17. In case I sell shares some of which belong to PIS and others to Non PIS account on one trade date then all the sale proceeds after the deduction of TDS will be credited to the PIS account. 18. Tax deducted at source by the bank will not be on exchange rate adjustment. Computation of capital gain tax will be done without indexation method. 19. The sale made will be adjusted on First In First Out basis (FIFO) at the PIS permission level (for eg: if a customer has multiple Demat accounts or multiple PIS savings account under one PIS permission) -FIFO will be applied across them while calculating capital gains) for the purpose of calculating capital gains.If any pledged shares are updated in the ledger then the same will also be considered for computation of capital gain as a part of FIFO basis 20. The bank will not undertake any follow up for deliveries of any shares purchased by us. 21. The bank will not undertake monitoring and follow up of corporate actions associated with any holdings of the account holder. 22. To ensure before placing / conveying Sale orders that I/We actually hold free shares (shares pending Demat or locked /pledge are not free shares). 23. Not to make any contract for sale either directly through a stockbroker or through the Bank in respect of any securities, which the client has not taken delivery of. 24. Shares purchased in the primary market, shares under corporate action are not to be considered under the PIS scheme. Therefore any sales proceeds pertaining to NON PIS Scheme will be credited directly into your NON -PIS account. However, in case the sale contract consist of PIS as well non PIS shares, then the sale proceeds will be credited to PIS account only. 25. In case of a delay or default in providing details pertaining to shares within the prescribed time, I/we shall be solely responsible for the following consequences: 26. Any impact on FIFO method of capital gains computation for such transactions and/or subsequent transactions 27. Any delay in credit to my PIS/Savings Bank account. 28. In case I/We are unable to provide documentary evidence that the shares were bought from the NRE accounts to the satisfaction of the Bank, the sales proceeds will be credited to my Non Repatriable Account (NRO) or shall be kept on hold by the Bank till the required details are submitted by me. 29. I/We shall not purchase Breached list scrips which are published by NSDL/ CDSL . In case of default, I/We shall arrange to sell the same immediately and losses and applicable charges, if any, on account of such transactions will be borne by me/us and I/we shall be responsible for legal consequences, if any. Further, the First in First out (FIFO) method of Capital Gain computation shall be affected and accordingly Tax shall be deducted at source. 30. I/We agree to adhere to the RBI/ NSDL/ CDSL guidelines and restrictions on purchase of shares Breach/ Red Flag) and shall refer NSDL/ CDSL website before dealing on recognized stock exchange. 31. I/We shall intimate the bank about any change in the status of security holdings on account of Corporate Actions or otherwise (IPO/FPO, Rights, Buy Back, ESOP, Inheritance, Gift, off-market transactions etc..) to facilitate proper reporting under NRE to RBI and Capital Gain computations as per the Income Tax Act, 1961. 32. As an NRI I will not invest in any company which is engaged or proposes to engage in the following activities Lottery Business including Government/ private lottery, online lotteries. (2) Gambling and betting including casinos. (3) Chit funds (4) Nidhi company (5) Trading in Transferable Development Rights (TDRs). (6) Real Estate Business or Construction of farm houses. (7) Manufacturing of Cigars, cheroots, cigarillos and cigarettes, of tobacco or of tobacco substitutes.

(8) Activities/sectors not open to private sector investment viz., (i) Atomic energy and (ii) Railway operations (9) Foreign technology collaboration in any form including licensing for franchise, trademark, brand name, management contract is also prohibited for lottery business and gambling and betting activities (10) Agricultural or Plantation activities, Real estate Business does not include construction of housing/commercial premises, educational institutions, city and regional level infrastructure township 33. In case I wish to avail of DTAA benefit; I will submit the required documents in the beginning of every financial year. 34. Any changes such as a change in the residential status/name/address/email ID/telephone numbers/Contact person etc, in any of my Accounts shall be intimated to the Bank Immediately. The Bank shall comply with instructions and procedures as laid down by Regulatory Authorities for PIS from time to time. I/We shall indemnify and hold harmless the Bank against any direct losses costs or claims which Bank might incur/suffer as a result under PIS.

I/We specifically agree to hold the Bank harmless from any and all claims and agree that the Bank shall not be liable for any loss, actual or perceived, caused directly or indirectly by equipment failure, communication line failure, system failure, Internet failure, securities failure on the Internet, unauthorized access or any other problem technological or otherwise, that might prevent the client from executing or the Bank from executing an order or other conditions beyond Bank's control. 35. I confirm to open the additional PIS account by giving extension to my existing PIS permission held under my PAN to deal with HDFC securities. 36. I/We agree that if the PIS account/PIS Permission is transferred from any other bank to HDFC Bank, then I/We shall furnish a "No Objection Certificate" from my/our present banker along with a holding statement (having details of scrip name, date of purchase, cost of purchase, quantity) as specified by HDFC Bank along with a latest copy of the Demat Statement of securities.

FEE SCHEDULE FOR PORTFOLIO INVESTMENT SCHEME – NRE CUSTOMERS

Sr No.	Fee Head	NRE PIS
1	Approval Issuance Fees (one time)	Rs.1000
2	Annual Maintenance Charges	Rs.1000

* Plus service tax/ GST and education cess as applicable

- Charges/service standards are subject to revision at the Bank's sole discretion and as informed by circulars sent by ordinary post/email.
- AMC fees are non refundable and debited to designated savings account on financial year basis
- PIS transaction charges and demat transaction charges are included in brokerage charged by HDFC Securities Ltd.

ONLINE NRE PIS PRODUCT CODE : 119

I/ We have accepted the above schedule of charges and terms and conditions specified

NRE Annexure I (Primary Market Transactions)

Customer Name :

NRE PIS Permission Number:

Sr. No.	Name of Company/Security	ISIN	Date of Acquisition (DD/MM/YYYY)	Number Shares / Quantity	Acquisition Price (per share)	DP ID	Client ID	Remarks/ Corporate Actions details

Note: In absence of RBI approval number, Documentary evidences to be obtained confirming the shares are acquired on repatriation basis.

Note:

- Annexure to be submitted along with latest demat holding statement. The name and total number of securities mentioned in above annexure should match as per latest Demat holding.

As per current Income Tax guidelines on LTCG: For computation of capital gains for securities acquired on or before 31st January, 2018 the purchase cost of acquisition will be determined as stated below: Higher of-

a) The actual cost of acquisition of shares and b) the lower of –

i. The fair market value of shares on 31st January, 2018 and

ii. Sale consideration of shares

I/We confirm that the above securities are not acquired through other NRI's/Private arrangement from RI/NRI/any other similar mode, In case of such securities to be reported then I/We will report the same separately with all details. I/We also confirm that the above shares acquired by me/us have been complied with STT provisions and are eligible for capital gain tax benefits available on sale of shares on stock market floor as per the Income Tax Act, 1961 and relevant regulations issued thereon.

In case of ESOP shares, I/We will provide the details as per ESOP checklist and I/We confirm that if the perquisite tax is not paid in India then Fair Market Value (FMV) will not be considered as cost of acquisition for computation of capital gain instead Exercise price will be considered as cost of acquisition.

I hereby indemnify and hold the Bank harmless at all times against any and all claims, liabilities, damages, losses, costs, charges, expenses (including, legal cost and fees), proceedings, and actions of any nature whatsoever made or instituted against or caused to or suffered by the Bank directly or indirectly on account of wrong computation of capital gain taxes by placing reliance on aforementioned information/data and confirmation provided by me/us.

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XX 1st Account Holder	XX 2nd Account Holder	XX 3rd Account Holder
Name of 1st Account Holder	Name of 2nd Account Holder	Name of 3rd Account Holder

Date:

Broker's Name :

H	D	F	C		S	e	c	u	r	i	t	i	e	s		L	t	d.	
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The Manager
NRI Services
HDFC Bank

Customer's PAN:

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NRO A/c No.

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branch.

Ref: Application for acquisition of securities or units on non-repatriation basis under schedule "4" of FEMA (Transfer or Issue of Security by a person Resident outside India)

As per the Foreign Exchange Management Act (Transfer or Issue of Security by a person Resident outside India) (Amendments) regulations, 2016, I/we would like to purchase and sale securities on non repatriation basis. I/We hereby agree:

- To open the NRO special securities bank account with designated branch to buy and sell securities or units in secondary market on non repatriation basis. The transactions related to this NRO special securities account will be routed only through designated branches.
- To submit the complete details of all shares held by me which were purchased during resident tenure or were acquired from primary / secondary market as a non resident on non repatriable basis, in the formats as specified by the Bank.
- To do only delivery based transactions and not indulge in speculative transactions. To purchase and sell shares of an Indian company, through registered broker on a recognized stock exchange or outside it.
- To make payment as per purchase value from the NRO special savings account.
- To share the details with the Bank of all transactions done directly through stockbrokers within 24 to 48 hours after trade, by submitting original broker contract notes to designated branch only where the Special NRO account is maintained. Details like, Unique reference number allotted by the bank, Special NRO account number to be mentioned on purchase/sale contract note.
- To update all purchase or sale of shares transactions in the secondary market or outside it, by submitting respective contract notes or any documentary evidence showing the transaction at the designated branch.
- Payments for shares/receipts from the broker on account of sale of shares will be made against the amounts specified on the bills and no adjustment of purchases against sale transactions will be done even if various sale and purchase transactions have been done during the same period.
- I/We confirm that all investment made by me/us in securities through any mode/other bank will be confirmed and updated to Bank for computing capital gain tax on sale of such securities. The computation of tax will be done without indexation benefit.
- The sale made will be adjusted on First In First Out basis (FIFO) at the Unique reference level (for eg: if a customer has multiple Demat accounts or multiple NRO Special securities savings account under one Unique ref. no.) - FIFO will be applied across them while calculating capital gains for the purpose of calculating capital gains. If any pledged shares are updated in the ledger then the same will also be considered for computation of capital gain as a part of FIFO basis.
- To deposit all payment instruments (Cheque/DD etc.) received from a stockbroker on account of sale of securities, for crediting in special NRO account along with complete details and the bills for trades executed on non repatriation basis at designated branch where the special NRO account is maintained
- I/We confirm that any sale proceeds that are credited to NRO account will be net of applicable taxes only. I will ensure no sell proceeds will be directly crediting to NRO account without deducting any applicable taxes. I/We shall indemnify and hold harmless the Bank against direct losses, costs or claims which Bank might incur/suffer as a result under this facility.
- Sales proceeds (net of applicable taxes) of securities or units acquired under this schedule shall be credited only to NRO account irrespective of the type of account from which considerations for acquisition were paid.
- The bank will recover its fees /charges applicable for this facility by debiting the special NRO savings/NRO SB account.
- The sale proceeds cheque will be deposited only at PIS designated branch at PIS desk and not any other branch/cheque drop box. For every sale transaction applicable capital gains tax will be deducted by the Bank at the time of crediting sale proceeds to NRO special securities account. Bank will apply penal interest on TDS amount for the sale trade date pertaining to any of the past financial years.

The sale proceeds net of tax will be credited to the designated account within 48 working hours, after receipt of clear funds from broking firm provided all details in order.


- To submit the CA certificate and undertaking as per the formats specified by Income Tax authority from time to time along with net sale proceeds of shares in case I/We are arranging to compute capital gains separately through our chartered accountant.
- The Bank will be able to set off losses against capital gains for same financial year on equity shares only. The bank will update purchase and sale contract notes details on FIFO basis and compute capital gain tax (without indexation method) accordingly, even if trades have been executed through multiple brokers.
- Tax deducted at source by the bank will not be on exchange rate adjustment. Computation of capital gain tax will be done without indexation method.
- The bank will not undertake any follow up for deliveries of any shares purchased under this schedule.
- The bank will not undertake monitoring and follow up of corporate actions associated with any holdings of the account holder.
- To ensure that before placing / conveying sale orders I/We actually hold free shares (shares pending for demat or locked /pledge are not free shares).
- In case of a delay or default in providing details pertaining to shares within the prescribed time, I/we shall be solely responsible for the following consequences:

Any impact on FIFO method of capital gains computation for such transactions and/or subsequent transactions any delay in credit to my NRO Savings/Special NRO Bank account.

- I/We shall intimate the Bank about any change in the status of security holdings on account of Corporate Actions or otherwise (IPO/FPO, Rights, Buy Back, ESOP, Inheritance, Gift, off-market transactions etc.) to facilitate proper updation under the reference number and Capital Gain computations as per the Income Tax Act, 1961
- As an NRI /PIO, I/We will not make any investment under this schedule, in equity shares, convertible preference shares, convertible debentures, warrants or units of a Nidhi company or a company engaged in agricultural/plantation activities or real estate business or construction of farm houses or dealing in Transfer of Development Rights as amended from time to time or any restricted sector, as declared by Govt of India/RBI from time to time.
- I/We will follow guidelines/directives given by various government agencies on time to time.

- In case I/We wish to avail of DTAA benefit, I/We will submit the required documents in the beginning of every financial year.
- Any changes such as a change in the residential status/name/address/email ID/telephone numbers/Contact person etc, in any of my Accounts shall be intimated to the Bank Immediately.

This is to certify that the Mr/Mrs/Ms _____ has a Savings Account with HDFC Bank Limited. I/We confirm that the client has signed on the DEMAT / HSL Trading AOF in presence of the bank staff and the signature tallies with the specimen held on our bank record.


FOR BANK USE ONLY	Name of the Bank Staff _____	
	Emp Code _____ Designation _____	
	Place _____ <div style="border: 1px solid black; padding: 2px; display: inline-block;">D D M M Y Y Y Y</div>	
	<i>This certificate has been issued for the purpose and use by HDFC Bank Limited</i>	
Signature of the Bank Staff _____		

Name Mismatch Declaration

I have Made the necessary enquiries on the discrepancies observed between the name on the ID/ address proof and name on AOF and I hereby confirm that the individual signing the AOF and the individual appearing on the ID / address document are one and the same person.

I confirm that

Name on the DEMAT /HSL Trading AOF:- _____
& Name on ID /Address proof _____ are one and the same person.

FOR BANK USE ONLY	Name of the Bank Staff _____	
	Emp Code _____ Designation _____	
	Place _____ <div style="border: 1px solid black; padding: 2px; display: inline-block;">D D M M Y Y Y Y</div>	
	<i>This certificate has been issued for the purpose and use by HDFC Bank Limited</i>	
Signature of the Bank Staff _____		

Person of Indian Origin (PIO) Declaration (Not to be used by citizens of Bangladesh or Pakistan)

I (Name) _____ hereby declare that I am a Person of Indian Origin (PIO) because I satisfy one of the following conditions: (Please select from the below)

- ☐ I held an Indian Passport earlier
- ☐ My father / mother / grandfather / grandmother (Name) _____ is / was a citizen of India
- ☐ I am a spouse of (Name) _____ who is an Indian Citizen
- ☐ I am a spouse of (Name) _____ who is a PIO

Further, I hereby - (Please select from the below)

- Submit the following documents in support of my declaration.

• _____

Declare that I do not possess any document in support of my declaration

I confirm the above information is true and correct and that I may be required to prove my status as a PIO if I'm questioned by any authority.

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X Signature of Client

Place : _____

Date: _____

Declaration for a Non- English language document submitted to the Bank

I / We request you to kindly open an NRE / NRO (Savings / Current / Time Deposit) / FCNR Deposit in my / our name on the basis of the documents submitted as a proof of my / our NRI Status (other than my / our passport). The details as per the document are:

- Document Name: _____
- Document No: _____
- Issued By: _____
- Issued At (Place): _____
- Issued On: _____
- Valid Til: _____

I / We hereby confirm the validity of the above document given that the same in a non-English language.

I / We also confirm that I / We will inform HDFC Bank in case my / our residential status changes from a Non-Resident Indian to a Resident Indian and will have the Non-Resident Account (s) opened in my / our name changed to Resident / RFC accounts (as eligible).

Yours Sincerely,

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X Signature (1st holder)

X Signature (2nd holder)

X Signature (3rd holder)

Sr No.	KYC Documents required to Open 3-in-1 Account
1.	Mandatory Documents Pan Card Passport (Indian/Foreign Passport) Valid Visa – Work/Student/employment/resident permit etc PIO/OCI Card (mandatory in case of foreign passport) CDC Card (in case of seafarers) issued by Govt. of India, exit and entry stamp required for not more than 6 months old.
2.	Acceptable proof of Foreign Address (any one), if mentioned on Account opening form Foreign Passport Driving Licence PIO Card / OCI Card issued by Central Government Utility Bill / Gas Bill / Telephone / Electricity Not More Than 2 Months Old Letter from existing banker (on letterhead with account number, address as per bank record, signature & rubber stamp of the bank) Bank statement, Not more than 3 months old
3.	Proof of Indian Address if mentioned on Account opening form - Official valid documents as proof of Identity and Proof of Address (Any one Mandatory) Indian Passport Driving Licence Aadhar card Voter's Identity Card
4.	Additional Document required for Equity Derivatives Privilege, (Any One) Bank account statement (for last 6 months) Demat account holding statement (not more than 3 months old) Salary slip (latest one month for current FY) Form 16 (for last financial year) Income Tax Return Acknowledgement (for last financial year) Networth Certificate (latest or at the end of last FY)
5.	Indian Address Proof for MF Privilege / US / Canada NR Clients Indian Passport Aadhar card Voter's ID Card Driving License

Instructions for KYC

- All the documents must be self attested by applicant
- In case of face to face account opening all documents must be accompanied by Original Seen and Verified (OSV) and in person verification done by banker
- In case of non face to face account opening process, all the KYC documents must be attested by any one of the below mentioned authorities.
 - a> Notary Public
 - b> Local bank (Name, Designation, Employee code and bank seal must be affixed on all copies)
 - c> Court Magistrate
 - d> Judge
 - e> Indian Embassy/Consulate General
- If any proof of identity or address is in a foreign language, then translation into English is required
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted
- Stock broker has an option of doing in-person verification through web camera at the branch office.
- PAN is mandatory, but not an official valid Document (OVD) as Proof of Identity
- Official Valid Documents As a proof of Identity and Proof Of Address (any one mandatory)

Annexure O - Terms and Conditions for electronic instructions received from the Client by the Trading Members and/or the Participants which are authenticated by the Participant and/or Trading Member and accepted by the Client on the Depository system

A. The Client availing this facility shall ensure that:

- a. The Client shall be required to be authenticated through remembered information along with OTP confirmation for each transaction processed through this facility. Client shall abide by such measures as may be required to ensure the safety and security of the Client's access to and usage of electronic facility and instructions received from Trading Member and/or Participant and/or NSDL.
- b. The Client agrees to take adequate safety measures for accessing electronic facility, including but not limited to taking all the necessary steps to ensure confidentiality and secrecy of the Client's remembered information and OTP received for authentication of the Client and shall not reveal the same and / or grant access to mobile number and / or email ID as recorded in demat account of the Client, to any employee, agent or official of the Trading Member or Participant or to any other person. The Client acknowledges that failure to adhere to safety and security measures prescribed by NSDL, Participant and / or the Trading Member could lead to a loss of confidentiality and secrecy of the remembered information and OTP, thereby exposing the Client to the risk of financial losses.
- c. The Client acknowledges that all instructions received from the Client by the Depository through this facility and processed after remembered information and OTP based authentication on Depository platform and as per the pre-trade authorization / mandate as submitted by the Client, shall be conclusive evidence of such instructions having been issued by the Client and shall be attributed to the Client. The Depository, Participant or Trading Member shall not be held liable for acting on the instructions so received.
- d. If the Client has reason to believe that the confidentiality of the remembered information or OTP or access to mobile number or email ID as recorded in demat account of the Client, has been compromised, the Client shall intimate the Participant [or Trading Member] forthwith about such compromise or loss. The Participant [or Trading Member] shall take best efforts to forthwith disable the Client's access to electronic facility not later than one Working Day of receipt of such intimation from the Client. However, if any instructions are received prior to such disablement, the Depository and Participant shall not be liable for losses, if any, arising out of execution of such instructions.
- e. The Client further acknowledges that the Client shall not have any right to any claim against either the Participant or NSDL for losses, if any, incurred due to non-execution of such instructions received late and/or executed on a best-effort basis. In the event of any dispute relating to the date and time of receipt of the instructions on electronic facility, NSDL's records shall be conclusive evidence and the Parties agree that NSDL's decision on the same shall be final and binding on both Parties.
- f. The Client may opt out from this facility at any time by giving a notice in writing or through electronic facility to the Trading Member, Participant or Depository. The Trading member or, Participant shall terminate the service within fifteen (15) days of receipt of such notice.
- g. The Client agrees to indemnify, keep indemnified and hold the Participant and NSDL harmless from any loss, damage, claim, suits, legal proceedings, investigations, expenses of every kind and any other liability whatsoever, including reasonable attorney's fees and fees of such

experts as may become necessary for NSDL, Trading Member and / or the Participant to engage, caused due to the availing of the services by the Client in any and all circumstances including without limitation, the following:

- i) Falsehood or misrepresentation of any nature by the Client (or any person acting on behalf of the Client)
- ii) Failure to use a trustworthy system for access the electronic facility;
- iii) Failure to take the precautions necessary to prevent the compromise, loss, disclosure, modification, or unauthorised use of the Client's remembered information, OTP or access to mobile number and / or email ID as recorded in the demat account of the Client
- h. Notwithstanding anything contained herein, the Client recognises and acknowledges that the Trading member/Participant may, in accordance with instructions received by the Trading Member/Participant from NSDL, prescribe such other security measures as it deems fit, in replacement of or supplementing the validation process through the use of remembered information or OTP, including without limitation the use of biometrics and such other methods as would validate the identity of the Client for access to the electronic facility. The Client agrees that a condition precedent for the Client's access to electronic facility is that the Client shall provide such information, data, and access to its representatives and personnel, as may be designated by the Client as the users of the electronic facility in order to enable Participant to generate such biometric criteria or other criteria in accordance with the security measures prescribed by Participant, in accordance with instructions received by the Participant from NSDL.

B. Participant shall take note and ensure the following: -

- a) The Participant may withdraw the access of the Client to electronic facility at any time provided a notice of at least thirty (30) days is given to the Client. The Participant may suspend or terminate the service without prior notice if the Client has breached any of these terms and conditions or rights and obligation of demat account, or if the Participant learns of the death, bankruptcy, lunacy or loss of legal capacity of the Client.
- b) This facility unless opt out by Client earlier shall be deemed to be opt out immediately on closure of demat account.

C. General Terms & Conditions:

- a. Any dispute or difference between the Parties, other than disputes between client and Trading Member to be settled through arbitration mechanism of the concerned Stock Exchange(s) and falling beyond the scope of the Depository, shall be resolved solely by means of reference to binding arbitration under the arbitration mechanism as provided in the Bye-Laws and Business Rules.
- b. The above terms and conditions are in addition to and do not undermine in any manner whatsoever the terms and conditions forming a part of the rights and obligation of Participant and Client.

Additional Rights and Obligations

The stock broker / Stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instructions (DDPI) or deny services to the client if the client refuses to execute POA or DDPI.

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

General Clause

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

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

Beneficial Owner information

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

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

Fees/Charges/Tariff

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

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

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

Dematerialization

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

Separate Accounts

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

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

Transfer of Securities

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

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

Statement of account

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

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

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

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

Manner of Closure of Demat account

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

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

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

Default in payment of charges

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

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

Liability of the Depository

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

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

Freezing/Defreezing of accounts

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

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

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

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

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

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

Tariff sheet for HDFC Bank Individual Demat Accounts - Regular / Basic Services Demat Account (Effective 1st Sep'24)

Sr. No.	Fee Head	Type	Fees	Min
1	Account opening charges		Nil	
2	Credit Transactions		Nil	
3	Debit Transactions like Equity / Debt / Mutual Funds (Market / Off Market)		0.04% of the value of the txn. (Max Rs 4,999/-) Inclusive of NSDL / CDSL actual debit transaction charges	Rs. 30/- Inclusive of NSDL / CDSL actual debit transaction charges
4	Pledge Services(Closure / Creation / Invocation)			
5	Margin Pledge (Creation / Invocation / Closure)		Rs. 20/- per instruction	
6	Dematerialisation	Certificate + Dematerialisation Request	Rs.5/- per certificate + Rs. 35/- per request	Rs. 40/-
7	Rematerialisation	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	Rs.40/- (min) Rs.5,00,000 (max)
8	Reconversion of Mutual Funds/Redemption of Mutual Fund units	Reconversion of Mutual Funds	Rs 30/- per request + NSDL / CDSL actuals, Currently	Rs 10/- per request in NSDL & Rs 5.50/- per request in CDSL
		Redemption of Mutual Fund units	Rs 30/- per request + NSDL / CDSL actuals, Currently	Rs 4.50/- per request in NSDL & Rs 5.50/- per request in CDSL
9	Reissuance of Delivery Instruction Booklet (DIB)		Rs.100/- per booklet	
10	Mailing Charges Courier / Postal Charges only (Adhoc Statement)	Inland Address	Rs.35/- per request	
		Foreign Address	Rs.500/- per request	
11	Annual Maintenance Charges	AMC - BSDA Demat Ac	AMC	Holding Value
			*** NIL	0 to 4,00,000
			*** Rs 100 p.a.	4,00,001 to 10,00,000
			*** Rs 750 p.a.	Above 10,00,000
		AMC - Regular Demat Ac	Rs. 750 p.a.	-

Terms & Conditions:

1. Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions. 2. Customers who have a banking relationship with HDFC Bank to provide a debit authorisation for the recovery of service charges. Customers having only a Depository relationship will be required to maintain a balance of Rs. 7,500/- in an account maintained by Bank for each Demat account. The Customer also need to replenish the balances in the said account immediately if and when it falls below Rs.5,000/- . 3. 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. 4. All charges / service standards are subject to revision at the Bank's sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days. Incase you are applicable for submission of GSTIN details, please provide details in a separate "GST Annexure". GST Annexure is available on our website (www.hdfcbank.com >> Form Center>> Demat Tab >> GST Annexure). 5. *** The Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. For the computation of AMC for Managed Program, the transactions for the previous year will be evaluated, and basis the number of transactions done by the customer, AMC will be levied as per the transaction slabs defined. (For more details of Managed program, kindly refer our website www.hdfcbank.com) 6.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. 7. 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. 8.Incase the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard program Demat accounts without further reference to the respective customers and will be levied standard Program pricing. 9. Incase if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle. 10. The value of the transaction will be in accordance with rates provided by Depositories (NSDL / CDSL). 11. 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. 12. Debit transaction charges are inclusive of NSDL / CDSL actuals which are ₹ 4.00 / ₹3.50 per debit instruction respectively. 13. Effective 01st Oct'24, Youth Demat Account holder will enjoy charge free debit transactions from NSDL. It is applicable for Demat Accounts where in customers must be below twenty four years at the time of Account opening and is extended for only three years. 14. CDSL discounts on Debit transactions are - Women Demat account holders (as first holder) will enjoy a discount of ₹0.25 per debit transaction on the CDSL actuals. - Debit transactions of mutual funds & bonds will enjoy a discount of ₹0.25 per on the CDSL actuals. 15. The operating instructions for the joint accounts must be signed by all the holders. 16. All instructions for transfer must be received at the designated DP servicing branches of the Bank at least 24 hours before the execution date. 17. In case of non-recovery of service charges due to inadequate balance in your linked bank account or inadequate advance fees or invalid bank account, the Depository services for your account will be temporarily discontinued. The services will be resumed in a minimum of three working days from the date of receipt of request with HDFC Bank and post payment of all outstanding dues towards Depository charges. 18. 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. 19. The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence despatch of physical statements has been discontinued. 20. Your Transaction cum Billing statement will be available on NetBanking under Demat tab by second week of every month with option to view/download. Effective 01 July'2020 stamp duty charges would be collected on consideration amount of OffMarket transfer / Pledge invocation instruction, before execution of request.

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



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

ACKNOWLEDGMENT

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

Received the application from Mr/Ms _____ as the sole/first holder alongwith _____
and _____ as the second and third holders respectively for opening of a depository account. Please quote the
DP ID & Client ID allotted to you in all your future correspondence.

Participant Stamp & Signature

BLANK