

# 3 in1 Investment Account

## Bank + Demat + Trading Account

One-stop shop investment that's reliable, transparent and convenient

Account is linked to your existing HDFC Bank Savings Account for quick and convenient trading of investments.

Safe and seamless online mode to keep track of your investments. No risk of physical loss or damage

Trade like a Pro with HDFC securities advance digital trading platform

Dedicated Relationship Manager offer complete investment assistance



☐ Relationship Managers, please note  
**#NominationSahiTohChintaNahi**

By nominating, customer can enjoy an assured and stress-free financial future. So remember to ask your customers to register a nominee, as it helps them and the Bank to save time, energy and efforts from getting involved in legal hassles in case of unforeseen situations.

## CHECKLIST FOR ENSURING DEMAT/HSL ACCOUNTS FTR

Sr No	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.	1,3,11,13,14	<input type="checkbox"/>
	Branch Inward Stamp, Auth Signatory Name, Emp Code, Seal of Branch, should be available & consistent across pages.	1,3,12,13, 14 & 24	<input type="checkbox"/>
KYC Form	Mandatory tick/mention on Prefix / Existing Customer / Gender / Martial Status / Date of Birth / Nationality.	3	<input type="checkbox"/>
	Part (A) : Application Name should match with that of Proof Of Identy (POI).		
	Part (A) : Proof of identity specification with Valid Till details, to be mentioned.	3	<input type="checkbox"/>
	Part (B) : Selection of Address as Residence or Office, to be mentioned	3	<input type="checkbox"/>
	Part (B) : If Office Address is provided as correspondence Address then Resident Address is required as Permanent Address.	3	<input type="checkbox"/>
	Part (B) : Land line provided, should be with Country & STD Codes, to be mentioned.	3	<input type="checkbox"/>
	Part (B) : Mandatorily Mobile & email id required, to be mentioned.	3,10	<input type="checkbox"/>
Demat AOF	Part (C) : IPV Details should be complete with Designation, Employee details, seal, signatures and date.	3	<input type="checkbox"/>
	Financial (i.e. Gross Annual Income/ Network 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.	1,5,9,14	<input type="checkbox"/>
	Number of Holders, to be mentioned.	5	<input type="checkbox"/>
	In case Dividend (/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 received Statement, to be mentioned.	5	<input type="checkbox"/>
Nomination Form	Tick on - DP on NET FACILITY, to be selected.	5	<input type="checkbox"/>
	Mobile No & email ID declaration, selection & details to be mentioned	8	<input type="checkbox"/>
	(Highly Recommended) Nomination Form, details of Nominee to be mentioned (details of Guardian required only if the Nominee is a Minor).	6	<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).	6	<input type="checkbox"/>
Trading AOF	Opting Out of Nominee, customer to sign either of the details to be provided (Self attested Copy of Aadhar with consent or alternate Proof of Identity required).	6	<input type="checkbox"/>
	Nomination Form, details of Witness to be mentioned only when with thumb impression provided instead of signatures by any of the holders.	6	<input type="checkbox"/>
	BSDA Confirmation, Selection of Regular or BSDA to be done.	9	<input type="checkbox"/>
	Scheme Type, to be mentioned.	1	<input type="checkbox"/>
	Mandatory to tick on - "Monthly" or "Quarterly", for setting the Trading Account.	2	<input type="checkbox"/>
	Strike off "Physical" under consent for Additional Right & 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.	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.	11	<input type="checkbox"/>
	Tick on - ECN or PCN, to be mentioned	11	<input type="checkbox"/>
	Tick on - Internet trading Facility, to be mentioned	11	<input type="checkbox"/>
Tick on - Experience in Trading, to be mentioned	11	<input type="checkbox"/>	
Tick on - Gross income amount, to be mentioned.	11	<input type="checkbox"/>	
Tick on - Occupation type, to be mentioned.	11	<input type="checkbox"/>	
FATCA & CKYC FORM	Mandatory signature required on MITC / Good Till date policy / MITC_Research	19,20,21,22	<input type="checkbox"/>
	Father's name, to be mentioned.	13	<input type="checkbox"/>
	Identification document & details are mandatory	13	<input type="checkbox"/>
	Tax Identification Details (as per FATCA/CRS country) are mandatory if customer is Tax Resident Other than India.	13	<input type="checkbox"/>
	Mother's Name to be mentioned	14	<input type="checkbox"/>
	Gender & Marital status, to be mentioned.	14	<input type="checkbox"/>
Signatures	Documents received in - Physical Form or Electronic Form, to be mentioned.	14	<input type="checkbox"/>
	Customer to sign @ 28 places, 10 for Demat & 18 for Trading AOF	18 pages	<input type="checkbox"/>
	Witnesses signature required, for Demat AOF only when the Thumb Impression is affixed by any of the holder.	7,8	<input type="checkbox"/>
<b>General but IMPORTANT Checks</b>			
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 /CKYC/POA/R&O/FATCA/Income Tax Site/Birth Certificate / BSDA 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 Aadhar Consent letter required, if Aadhar 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.			
<b>Strike off blank spaces on page 3,4</b>			
Branch code Branch Name			
Employee Code & Name			
Signature			Date



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.

Total						
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**Place:**

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

Prefix ☐ Mr ☐ Ms ☐ Miss Existing Customer ☐ Yes ☐ No

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

Father / Spouse's name

Gender ☐ Male ☐ Female Marital status ☐ Single ☐ Married

Date of birth  D  D  M  M  Y  Y  Y  Y

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

(Mandatory for Demat/ISA)

Aadhaar No. ☒ X ☒ X ☒ X ☒ X ☒ X ☒ X ☐ ☐

Status ☐ Resident Individual ☐ Non Resident ☐ Foreign National ☐ Person of Indian Origin

Nationality ☐ Indian ☐ Other, please specify

Specify the proof of identity submitted ☐ PAN (Other Officially Valid Document (OVD) required, in addition to PAN)

☐ OVD (Please specify)  Valid till  D  D  M  M  Y  Y

**S5** (Signature across the photograph)

Please affix your recent passport size photograph

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

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

Residence / Correspondence Address

Landmark (Mandatory)

City / Town / Village  PIN (Mandatory)

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

Country ☐ India ☐ Other

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

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

Tel. (Off.)  -  -

Tel. (Res.)  -  -  Country code  Number

Fax  -  -  Mobile  -

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

☐ Please tick if permanent address is the same as above address

Permanent Address

Landmark (Mandatory)

City / Town / Village  PIN (Mandatory)

State

Country ☐ India ☐ Other

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

**Mandatory to be filled if different from above**

**Mandatory for Non Resident Applicant to specify overseas address**

**Part - (C) DECLARATION**

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

**FOR BANK 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

D  D  M  M  Y  Y  Y  Y

Name of the organisation: HDFC Bank Ltd.

Name and Signature of Authorised Signatory

**Seal / Stamp of HDFC Bank**

**Signature of the applicant**

**S6**

D  D  M  M  Y  Y  Y  Y Place

**Note:**

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

## TAX Reference number

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

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

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

[illegible]

I hereby agree that the Bank reserves the right to close the account, in case, the aforesaid declaration is found to be untrue. In the event of any change in this declaration and/or if I subsequently become a Politically Exposed Person(s) or a relative of a Politically Exposed Person, after the opening of account, I hereby agree to promptly inform the Bank regarding the same and forthwith submit the relevant Politically Exposed Person (PEP) declaration form at an HDFC Bank branch offering DP Services.

(Signatures of all the holders are required)

[illegible]

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

Branch Inward Stamp &  
Authorised Signatory with Stamp



## BANK USE

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
Shares of Nominee(%)**	Specify Percentage_____ %		Specify Percentage_____ %		Specify Percentage_____ %	
Relationship with Applicant #						
Nominee(s) Address						
	CITY STATE		CITY STATE		CITY STATE	
	COUNTRY PIN Code		COUNTRY PIN Code		COUNTRY PIN Code	
Nominee Identification Document	<input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)		<input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)		<input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)	
	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	D D M M Y Y Y Y		D D M M Y Y Y Y		D D M M Y Y Y Y	
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
Address of Guardian(s)						
	CITY STATE		CITY STATE		CITY STATE	
	COUNTRY PIN Code		COUNTRY PIN Code		COUNTRY PIN Code	
Relationship of Guardian with Nominee #						
Guardian Identification Document	<input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)		<input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)		<input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)	
	Guardian Identity Number*** Ref. ID no. _____		Ref. ID no. _____		Ref. ID no. _____	
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

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
Shares of Nominee(%)**	Specify Percentage_____ %		Specify Percentage_____ %		Specify Percentage_____ %	
Relationship with Applicant #						
Nominee(s) Address						
	CITY STATE		CITY STATE		CITY STATE	
	COUNTRY PIN Code		COUNTRY PIN Code		COUNTRY PIN Code	
Nominee Identification Document	<input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)		<input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)		<input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)	
	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	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	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



Nomination Details (7th, 8th and 9th Nominee)																																																																																																																																						
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Nomination Details (10th Nominee)																																													
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<b>Nominee Identification Document</b> <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar <input type="checkbox"/> Passport (Additional document for NRI)																																													
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# 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

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	
<b>Witness 1</b> (Mr. / Ms): _____ Address _____ _____ _____	Signature of Witness 1
<b>Witness 2</b> (Mr. / Ms): _____ Address _____ _____ _____	Signature of Witness 2

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

\*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

If client has not selected either of the above options, the nomination registration status (i.e., whether nomination is registered – Yes/No)

shall be printed in the statement of holding or statement of account.

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 opening 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		S9	
		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)	S10		
	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
	Witness 2	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

**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

**Declaration by Demat Account Holder/s**

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

Dear Sir/Madam,

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

**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:**

- Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
- Customers who have a banking relationship with HDFC Bank to provide a debit authorisation for the recovery of service charges. Customers having only a Depository relationship will be required to maintain a balance of Rs. 7,500/- in an account maintained by Bank for each Demat account. The Customer also need to replenish the balances in the said account immediately if and when it falls below Rs.5,000/-.
- The above charges are exclusive of applicable GST and other taxes / statutory charges levied by Government bodies / statutory authorities from time to time, which will be charged as applicable.
- All charges / service standards are subject to revision at the Bank's sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days.
- Incase you are applicable for submission of GSTIN details, please provide details in a separate "GST Annexure". GST Annexure is available on our website ([www.hdfcbank.com](http://www.hdfcbank.com) >> Form Center >> Demat Tab >> GST Annexure).
- \*\*\* 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](http://www.hdfcbank.com))
- To evaluate the eligibility for Basic Services Demat Accounts (BSDA), the value of holdings will be determined on a daily basis, as per the file sent by the NSDL / CDSL The AMC will be calculated at the pro-rata basis based on the value of holding of securities in the account.
- In case of BSDA, such accounts would be levied AMC applicable basis the value of holdings exceeding the prescribed limit immediately from the next day of exceeding such limit.
- Incase the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard program Demat accounts without further reference to the respective customers and will be levied standard Program pricing.
- Incase if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
- The value of the transaction will be in accordance with rates provided by Depositories (NSDL / CDSL)

- The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- Debit transaction charges are inclusive of NSDL / CDSL actuals which are ₹ 4.00 / ₹3.50 per debit instruction respectively.
- 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.
- 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.
- The operating instructions for the joint accounts must be signed by all the holders.
- All instructions for transfer must be received at the designated DP servicing branches of the Bank at least 24 hours before the execution date.
- In case of non-recovery of service charges due to inadequate balance in your linked bank account or inadequate advance fees or invalid bank account, the Depository services for your account will be temporarily discontinued. The services will be resumed in a minimum of three working days from the date of receipt of request with HDFC Bank and post payment of all outstanding dues towards Depository charges.
- In case the Demat accounts are with nil balances / transactions or incase if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of 1 year. However the electronic statement of holding will be sent only to the customers whose email IDs are registered for e-statement.
- The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence despatch of physical statements has been discontinued.
- Your Transaction cum Billing statement will be available on NetBanking under Demat tab by second week of every month with option to view/download.
- Effective 01 July 2020 stamp duty charges would be collected on consideration amount of OffMarket transfer / Pledge invocation instruction, before execution of request.

**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.

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

## UCC, EXCHANGE DETAILS AND SEPARATE MOBILE NUMBER & EMAIL ID DECLARATION

First / Sole Holder Name:

UCC:

Exchange Name & ID:

I/we hereby declare as detailed below for mobile number and email id belongs to:

Holder	Mobile Number	Email Id of the Customer
1st / Sole holder	<input type="text"/> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Dependent Children	<input type="text"/> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Dependent Children
2nd holder	<input type="text"/> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Dependent Children	<input type="text"/> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Dependent Children
3rd holder	<input type="text"/> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Dependent Children	<input type="text"/> <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Dependent Children

Signature & Name of holder (s)	S11 Signature 1st holder	Signature 2nd holder	Signature 3rd holder
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**Name of the Applicant:**
**BANK AND DEPOSITORY ACCOUNTS DETAILS:**

Bank Name:	<input type="checkbox"/> HDFC Bank A/C	<input type="checkbox"/> Other Bank Name																					
Bank A/C No.											Account Type:	<input type="checkbox"/> Savings	<input type="checkbox"/> Current										
IFSC Code											MICR Number:												
Branch Address											Branch Code												
DP Name											DP ID:	I	N										
Client ID (BO ID)											Depository Name (tick one)	<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL										
Client ID (BO ID)																							

**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	S12 X Signature of Client	S13 X Signature of Client	NA
Futures & Options	S14 X Signature of Client	NA	NA
Currency Derivatives	S15 X Signature of Client	NA	NA
Commodity Derivatives	NA	NA	S16 X Signature of Client

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.

# If in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker, Please specify the proof submitted to avail the privileges to trade in derivatives segment: (Please refer last page of this application form)

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

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

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

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

E-mail ID for ECN

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

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

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

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

### OTHER DETAILS (PLEASE SPECIFY)

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

**OR Net worth (₹)** \_\_\_\_\_ as on date  D  D  M  M  Y  Y  Y  Y **Net worth should not be older than one year**

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

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

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

**Any other information** \_\_\_\_\_

### INTRODUCER DETAILS (Optional)

Name: \_\_\_\_\_

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

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

I1

X Signature of Introducer

### DECLARATION

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

2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, i.e www.hdfcsec.com

S17

X Signature of Client

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

D  D  M  M  Y  Y  Y  Y

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

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

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

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

Date:  D  D  M  M  Y  Y  Y  Y

STAMP

X Signature of Authorised Signatory



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

(Applicable for Resident and Non-Resident Customers)

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

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

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

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

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

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

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

 • First account holder :    Yes ☐    No ☐

 • Second account holder :    Yes ☐    No ☐

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

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

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

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

S18

Signature of first holder

Signature of second holder\*

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

For HDFC Bank/Securities use only :

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

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

Date: 

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

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

 LG Code 

 LC Code 

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

\* Mandatory Fields

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

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

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

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

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

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

S19

Signature/Thumb Impression of First Applicant

Signature/Thumb Impression of Second Applicant

**Institution Details**

For HDFC Bank/Securities use only :

 DP ID : 

 Client ID : 

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

 Branch Code : 

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

Institution Stamp

## >>>STAMP DUTY SECTION>>>

This document is voluntary. However, the same is required to be executed by the customers in order to avail of seamless trading platform with integrated bank account, demat account and broking account. If you do not wish to use the services of HDFC Securities Limited and HDFC Bank Limited, you need not execute such documents.)

## Master Mandate Letter

I/We refer to the Mandatory Rights and Obligations prescribed by SEBI Non-mandatory Additional Rights and Obligations Confirmation dated \_\_\_\_\_, 20\_\_\_\_ (“Additional Rights and Obligations Confirmation”) by the Client (as described below) (“Client”) in favour of HDFC Securities Limited (“HDFC Securities”).

The Client is desirous of investing and/ or trading in securities, making investments and entering into various transactions (hereinafter, for the sake of convenience, collectively referred to as “Securities”) with or through HDFC Securities and for this purpose the Client has signed the account opening form together with the Mandatory Rights and Obligations prescribed by SEBI and Additional Rights and Obligations Confirmation by the Client in favour of HDFC Securities (hereinafter collectively referred to as the “Account Opening Documentation”). Under the terms of the Account Opening Documentation and SEBI regulations and circulars, the Client and the other account holders (described below) (hereinafter collectively referred to as the “Joint Account Holders”) have agreed to execute this Master Mandate Letter, supplemented by (i) Demat Debit and Pledge Instruction in favour of [HDFC Securities] and (ii) mandate letter and instructions to HDFC Bank and HDFC Securities in respect of the Associated Accounts of which they are the holders.

It is understood and acknowledged by the Client and other

**Signature & Name of holder (s)**

<b>S20</b>  Signature of 1st (trading) holder  _____	Signature of 2nd Demat holder (if any)  _____	Signature of 3rd Demat holder (if any)  _____	Signature of 2nd Bank holder (if any)  _____	Signature of 3rd Bank holder (if any)  _____
--	--	--	---	---

Accepted  
For HDFC Bank Limited

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

Authorised Signatory

Place:

Accepted  
For HDFC Securities Limited

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

Authorised Signatory

Place:

## Demat Debit and Pledge Instruction

To  
HDFC BANK Limited,  
Depository Services, Empire Plaza I, 4th Floor, Chandan Nagar, LBS  
Marg, Vikhroli West, Mumbai - 400083.

**ASSOCIATED DEMAT ACCOUNT DETAILS:**

DP ID							DP Account						
Customer / UCIC ID							Depository						

Name of 1st holder	
Name of 2nd holder	
Name of 3rd holder	

Sr No.	Purpose	1st Holder Sign	2nd Holder Sign	3rd Holder Sign
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker - HDFC Securities Limited.	S21		
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) - HDFC Securities Limited for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	S22		
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	S23		
4	Tendering shares in open offers through Stock Exchange platforms	S24		

Please note, pt. 3 & 4 will be applicable from 18-Nov-2022 as per SEBI circular SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/137 dated 06-Oct-2022

I/We the Client and the other account holders have hereby executed this Demat Debit and Pledge Instruction at  
on the day of 20

**List of HDFC Securities Ltd. demat accounts where securities can be moved w.e.f. October 01, 2019.**

Name of the Depository Participant		HDFC Bank Ltd.	
NSDL		CDSL	
DP ID	CLIENT ID	DP ID	CLIENT ID
IN300126	11178642,11178157,11248012, 11302668, 11281903, 11281899	13012400	04524460, 00005785, 00004711, 06325921, 06069648, 06069652

Bank Mandate Letter and Instructions

1. I/We, the Client / Joint Account Holders, mandate and instruct HDFC Bank, acting through any of its officers or employees:
- a. To block, hold and/or create / mark a lien, charge or hypothecation on one or more of the Associated Bank Accounts or all or any of the money therein including in the internal systems of the Bank, as HDFC Bank may deem fit and thereafter without any further instructions (this writing constituting my/our instructions to do so) to transfer all the said money to HDFC Securities or any account(s) of HDFC Securities specified in the schedule hereto or to such other accounts as may be specified on the website of HDFC Securities and by electronic mail otherwise or in accordance with the instructions of HDFC Securities.
- b. To transfer any money from any Associated Bank Account(s) to HDFC Securities or any account(s) of HDFC Securities specified in the schedule hereto or to such other accounts as may be specified on the website of HDFC Securities and by electronic mail or otherwise for the following purposes:(i) towards stock exchange related margin/delivery and/or settlement obligations arising out of trades executed by me/us on the stock exchange through HDFC Securities;(ii) for recovering any outstanding amount due from me/us arising out of my/our trading activities on the stock exchanges through HDFC Securities;(iii) for meeting obligations arising out of my / our subscription to, units of Unit Trust of India or other mutual funds, government securities, negotiable instruments, certificates of deposits, participation certificates, commercial paper, bank deposits, fixed deposits, money market instruments, collective investment schemes or any other security or financial instrument, derivatives, including but not limited to equity derivatives, currency derivatives, interest rate derivatives, forwards, futures, swaps and options, and public provident fund, national savings schemes, new pension system / scheme and other savings schemes of Government of India or other undertakings, life insurance, general insurance or such other products / facilities / services offered and/or distributed by HDFC securities, from time to time or in connection with any transaction effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation;(iv) towards monies/ fees/ charges, or the like due to HDFC Bank and/or HDFC Securities payable by virtue of my/ us using/ subscribing to any of the facilities/ services availed by me/ us. Provided further, that any funds that have been erroneously transferred to HDFC Securities / received by HDFC Bank, or that HDFC Securities or HDFC Bank were not entitled to receive, shall be re-transferred / returned to the associated account from which they were transferred.
- c. To sign, deliver and/or acknowledge all instructions, forms, instruments, cheques, drafts, slips, receipts and other instruments and writings which are necessary or advisable for performing all or any of the mandate and instructions hereby conferred.
- d. To apply for, purchase, redeem and/or sell in any other manner acquire or dispose of units of Unit Trust of India or other mutual funds, government securities, negotiable instruments, certificates of deposits, participation certificates, commercial paper, bank deposits, fixed deposits, money market instruments or other instruments of like nature, collective investment scheme or any other security or financial instrument, , currency derivatives, interest rate derivatives, and public provident fund, national savings schemes, new pension system / scheme and other savings schemes of Government of India or other undertakings, life insurance, general insurance or such other products/facilities/services, offered and/or distributed by HDFC Securities.
- e. To receive and hold certificates, title documents, deposit receipts, account statements and other documents and writings pertaining to mentioned above and/or any amount invested, advanced or expended by me/us or on my/our behalf and to acknowledge receipt of the same
- f. To sign and endorse all such application forms, transfer deeds, deposit receipts, redemption requests, negotiable and other instruments,

contracts and other writings and do all such acts as may be required for all or any of the above purposes or otherwise in connection with any transaction effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation. For this purpose HDFC Bank may act on the basis of any certificate or writing by HDFC Securities that any transaction is effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation and the same will be binding on the Joint Account Holder(s) and any other person relying on this mandate and instructions.

g. To send a consolidated summary of my/our scrip-wise buy and sell positions taken with average rates by short message service or through email on a daily basis. PROVIDED THAT HDFC Bank shall exercise the mandate conferred only pursuant to instructions in that behalf given by the Client, which instructions may be given orally, over the telephone, through the internet, through a kiosk, electronically or in any other manner acceptable to HDFC Bank and such instructions given to HDFC Bank or HDFC Securities shall be admissible in evidence and shall not be questioned by me/us and shall be conclusive and binding against me/us. AND PROVIDED FURTHER THAT the aforesaid mandate and instructions may (at HDFC Bank's and/or HDFC Securities' option) be exercised by HDFC Bank on behalf of the Client alone or all or any of the Joint Account Holders, and any such exercise shall be binding upon all the Joint Account Holders. AND I/We the Joint Account Holders do mandate and instruct HDFC Bank to, from time to time and without requiring my/our further instructions or consent (this writing constituting my/our consent).

For the purpose of the above mandate and instructions, the Joint Account Holders are instructing HDFC Bank and HDFC Securities : (i) The Joint Account Holders of any Associated Bank Account(s) shall at all times make available sufficient funds in the Associated Bank Account(s) for the purpose of the transactions to be carried out pursuant to the Account Opening Documentation and shall not, without HDFC Securities prior written consent, close an Associated Bank Account and/ or Associated Demat Account or directly or indirectly operate or give instructions in respect of any Associated Account which may prejudice HDFC Securities rights under the Account Opening Documentation or the transactions undertaken thereunder or mandate exercisable by HDFC Bank hereunder or which would be contrary to the provisions of the Account Opening Documentation or any acts by HDFC Bank pursuant to the above. (ii) The Joint Account Holders of any Associated Bank Account(s) agree that (a) instructions given by the Client to HDFC Bank to block funds in or to transfer funds from an Associated Bank Account in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities will be given first priority over any other instructions or cheques (whether prior or subsequent) given or issued by any Joint Account Holder by itself or through any other attorney,(b) funds once blocked on the instructions of the Client in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities can be released only with the express written consent of HDFC Securities to HDFC Bank; and(c) if the Client has given any blocking, holding, debit or other instructions in respect of any money in any Associated Bank Account, in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities, and HDFC Securities receives transfer, debit or other instructions in respect of such money from any Joint Account Holder or any other person, then HDFC Bank shall first give effect to the first mentioned instructions and shall also transfer the concerned money to HDFC Securities account; In case of death, disability, winding up or liquidation of any Joint Account Holder, HDFC Bank shall be entitled to immediately freeze the Associated Bank Accounts, and the mandate, shall be revoked as regards such Joint account Holder upon the intimation in writing to HDFC Bank and HDFC

Securities of such death, disablement, dissolution, winding up or liquidation by the surviving Joint Account Holder/s and the instructions and agreements contained herein shall be revoked within two days of such intimation.

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

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

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

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

Bank Name	HDFC Bank Ltd.
Account no	50200036338693, 50200036340161, 50200036338578, 50200036340151, 50200036338730, 50200036340148, 50200036340174, 50200036340250, 50200036338720, 50200036338717, 50200034589301, 00602030000061, 00602340029392, 00602340029400, 00602340029410, 00602340029427, 00602340029434, 00602340029444, 00602340029451, 00602340029461, 00602340029478, 00602340029488, 00602340029616, 05422320002170, 15772340000727, 57500000389146, 00990610005906

ASSOCIATED BANK ACCOUNT DETAILS:

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

S25		
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



DP ID

Client ID

Date

Customer Identification No. Cust ID:

(Savings / Current Account)

(Cust ID should be provided for the Sole / 1st Holder of the Demat Account)

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

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

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

	NAME	SIGNATURE
Sole / 1st Holder	<input type="text"/>	<b>S26</b> (Signature of 1st Holder)
2nd Holder	<input type="text"/>	(Signature of 2nd Holder)
3rd Holder	<input type="text"/>	(Signature of 3rd Holder)

**DECLARATION:**

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

**Terms & Conditions:**
**NSDL**

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

**CDSL**

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

**General Instructions:**

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

**Features**

DP @ Net includes:

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

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

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

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

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



### Signature Mismatch Declaration

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.

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Signature of Customer

FOR BANK USE ONLY

Name of the Bank Staff \_\_\_\_\_

Emp Code \_\_\_\_\_ Designation \_\_\_\_\_

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

This certificate has been issued for the purpose and use by HDFC Bank Limited

Signature of the Bank Staff

Seal / Stamp of  
HDFC Bank



### 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 \_\_\_\_\_ D D M M Y Y Y Y

This certificate has been issued for the purpose and use by HDFC Bank Limited

Signature of the Bank Staff

Seal / Stamp of  
HDFC Bank



## 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.

**S28**

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 –

- HDFC Securities Ltd. ("HSL") enables it's clients to place "Good Till Date" (GTDt) orders.
- 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.
- All existing and new clients of HSL who are eligible to trade in Equity Cash product & Derivatives can avail GTDt facility for order placement.
- 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.
- Client can specify disclosed quantity while placing cash orders with GTDt order validity.
- GTDt orders can only be placed by specifying a limit price. GTDt orders cannot be placed at market price.
- 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.
- 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.
- Client shall ensure that necessary funds/margins are available to place GTDt orders in their account for the unexecuted quantity of the order.
- "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.
- 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).
- 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.
- 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.
- All securities in BSE & NSE except securities in debt segment, NCD, Bonds and illiquid securities are eligible for the placing GTDt order.
- Orders with GTDt validity can be placed both during the market hours as well as post market hours.
- GTDt orders can be placed over CallNTrade.
- 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.
- 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.
- All GTDt orders can be cancelled.
- 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.
- Clients can also place GTDt Buy and Sell (sell- Open position only) order under E-Margin Product.
- 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 –

- Any investment made based on the recommendations in the research report are subject to market risk.
- Recommendations in the research report 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."

Declaration of the RA that:

- 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);
- It has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting.
- 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;
- The maximum fee that may be charged by RA is 1.51 lakhs per annum per family of client.
- 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](http://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

**A. IMPORTANT POINTS**

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

**B. PAN is mandatory, but no longer an Official Valid Document (OVD) as Proof of Identity**

Under PMLA guidelines Permanent Account Number (PAN) is no more listed as an Official Valid Document (OVD), however basis SEBI circular no. MRD/DoP/Cir-05/2007, PAN is still a Mandatory document to be provided by the investor for opening a Demat and Trading Account.

Also, Central KYC Registry (CKYCR) notification dated January 10, 2020 & July 07, 2020 towards revision & implementation of KYC template for Individuals to align it with the extant PMLA requirements.

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

Officially Valid Documents (OVDs) under terms of Rule 2 (d) of Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 (PML Rules) are as listed below

1. Passport
2. Driving Licence
3. Proof of possession of Aadhaar number
4. Voter's Identity Card

5. NREGA Job Card duly signed by an officer of the State Government
6. Letter issued by National Population Register containing demographic details
7. Any other document as notified by the Central Government in consultation with the Regulator.

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

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

1. Passport
2. Driving Licence
3. Proof of possession of Aadhaar number
4. Voter's Identity Card
5. NREGA Job Card duly signed by an officer of the State Government
6. Letter issued by National Population Register containing demographic details
7. Any other document as notified by the Central Government in consultation with the Regulator.

**E. Exemptions/clarifications to PAN**

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

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

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

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

**Important:**

The Bank/ Securities staff carrying out the IPV should:

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



## Annexure O (T&C for Electronic instructions)

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 to 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, 2018, 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, 2018 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 the balance has become Nil during the year, the DP shall send one holding statement annually to such BOs through email and shall resume sending the transaction statement as and when there is a transaction in the account. In case of accounts with credit balance but no transactions during the year, half yearly statement of holding for the year shall be sent to the BO through email.

15. The DP shall provide the services of issuing the statement of demat accounts in an electronic mode. The DP will furnish to the BO 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 DP 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	<u>Reconversion of Mutual Funds</u> Rs 30/- per request + NSDL / CDSL actuals, Currently Rs 10/- per request in NSDL & Rs 5.50/- per request in CDSL		
		<u>Redemption of Mutual Fund units</u> 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.	-

- Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
- Customers who have a banking relationship with HDFC Bank to provide a debit authorisation for the recovery of service charges. Customers having only a Depository relationship will be required to maintain a balance of Rs. 7,500/- in an account maintained by Bank for each Demat account. The Customer also need to replenish the balances in the said account immediately if and when it falls below Rs.5,000/-.
- The above charges are exclusive of applicable GST and other taxes / statutory charges levied by Government bodies / statutory authorities from time to time, which will be charged as applicable.
- All charges / service standards are subject to revision at the Bank's sole discretion at any given point of time and the same shall be communicated to the customers with a notice of 30 days.
- In case you are applicable for submission of GSTIN details, please provide details in a separate "GST Annexure". GST Annexure is available on our website ([www.hdfcbank.com](http://www.hdfcbank.com) >> Form Center>> Demat Tab >> GST Annexure)
- \*\*\* 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](http://www.hdfcbank.com))
- To evaluate the eligibility for Basic Services Demat Accounts (BSDA), the value of holdings will be determined on a daily basis, as per the file sent by the NSDL / CDSL The AMC will be calculated at the pro-rata basis based on the value of holding of securities in the account.
- In case of BSDA, such accounts would be levied AMC applicable basis the value of holdings exceeding the prescribed limit immediately from the next day of exceeding such limit.
- In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard program Demat accounts without further reference to the respective customers and will be levied standard Program pricing.
- In case if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
- The value of the transaction will be in accordance with rates provided by Depositories (NSDL / CDSL)
- The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- Debit transaction charges are inclusive of NSDL / CDSL actuals which are ₹ 4.00 / ₹3.50 per debit instruction respectively.
- 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.
- 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.
- The operating instructions for the joint accounts must be signed by all the holders.
- All instructions for transfer must be received at the designated DP servicing branches of the Bank at least 24 hours before the execution date.
- In case of non- recovery of service charges due to inadequate balance in your linked bank account or inadequate advance fees or invalid bank account, the Depository services for your account will be temporarily discontinued. The services will be resumed in a minimum of three working days from the date of receipt of request with HDFC Bank and post payment of all outstanding dues towards Depository charges.
- In case the Demat accounts are with nil balances / transactions or in case if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of 1 year. However the electronic statement of holding will be sent only to the customers whose email IDs are registered for e-statement.
- The Depositories have started dispatching Consolidated Account Statement (CAS) to the customers w.e.f. March 2015, hence despatch of physical statements has been discontinued.
- Your Transaction cum Billing statement will be available on NetBanking under Demat tab by second week of every month with option to view/download.
- 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 along with \_\_\_\_\_  
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**